**Sample Job Description: Chief Compliance Officer**

*IMPORTANT: These job descriptions are samples only; customize each section to your firm and the specific role.*

**WHO WE ARE:**

{Company Name}, a growing wealth management firm, is seeking a Chief Compliance Officer to assist us in our mission of helping clients achieve their financial goals. This is your chance to play a key role in the future success of our fast-growing organization!

*Insert here: any awards or accolades the firm or owner has received. For instance, “Become a member of one of the most respected teams in the wealth management industry. XYZ Wealth Management Group was recently named #25 on Registered Rep’s list of the Top 100 Advisors.”*

*Insert here: any unique aspects of your culture, such as company core values and how your culture looks in real life.*

Our mission at {Company Name} is to {Insert Company Mission Statement}. If you have a relentless, burning desire to succeed and share our vision, then we would love to hear from you!

**WHO WE WANT:**

The Chief Compliance Officer (CCO) is responsible for developing and implementing the firm’s compliance plan and overseeing the firm’s activities necessary to meet all legal and regulatory requirements. The CCO is also responsible for investigating and responding to complaints, conducting audits, responding to regulatory requests, and for all necessary compliance reporting.

**WHAT TO EXPECT:**

* Develop, implement and administer the firm’s compliance program and plan.
* Manage interaction with regulatory entities and respond to inquiries and requests.
* Coordinate and conduct audits and investigations, as needed.
* Investigate and resolve client inquiries, requests, and complaint.
* Coordinate client communications and notifications, as needed.
* Maintain necessary records and documentation and ensure reporting requirements are met.
* Work proactively to educate employees and verify their ability to comply with requirements, and to address any questions, concerns, or suggestions in a timely and appropriate manner.
* Develop employee documentation, policies, training, and practices to reinforce compliance requirements and prevent illegal, unethical, or improper conduct or activity.
* Foster a culture of compliance and collaborate with other leaders to address compliance issues and appropriately prioritize compliance activities.
* Serve as a resource for leaders, employees, and clients, as needed to represent the firm’s best interests.
* Produce and provide necessary and beneficial internal reporting and communication on a regular basis.
* Assist with execution of the strategic vision/goals of the firm.
* Demonstrate leadership abilities.

**WHAT YOU NEED:**

* Five to seven years of experience managing compliance function and working with regulatory agencies; 10+ years of experience in the financial services industry.
* Experience developing, implementing, and monitoring compliance plans.
* Bachelor’s degree in business management or a related area, or equivalent experience.
* Strong working knowledge of SEC regulations and requirements, as well as other federal and state regulations.
* Strong working knowledge of investment advisory business and requirements.
* Demonstrated ability to focus both strategically and tactically.
* Strong communication skills, both written and oral.
* Demonstrated analytical and leadership skills.
* Demonstrated problem-solving and decision-making skills.
* Attendance is an essential function.
* Salary is commensurate with experience.

In exchange for your expertise, we offer a base salary, bonus potential, 401(k) plus matching, health benefits, a potential for career growth, and a great working environment. This is your chance to play a key role in the continued success of our company. Our culture is fast-paced, motivational and focused on healthy living. Smokers need not apply. For more information about our company, please visit our website {Insert Company Website}.

If you’re interested in this opportunity, please send your resume and letter of interest to {Name and Email Address}.

We are an equal opportunity employer, and all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, disability status, protected veteran status, or any other characteristic protected by law.