

Position Description

Title: Compliance Specialist

Reports to: Compliance Manager

Salary Range: \$55,000-\$70,000 annually with potential for annual bonus based on firm profitability and employee performance.

Benefits:

- Medical, Dental, and Vision insurance: 80% employer paid premiums for employee and 50% employer paid premiums for dependents. Two plan options: High deductible with HSA and low deductible plan.
- 100% employer paid premium for Group Term life, voluntary employee paid life and AD&D Insurance.
- 401(k) with 100% company match up to 4% with both Traditional and Roth options.
- Voluntary long-term Disability Insurance.
- Paid time off: 17 days annually for new hires, two half-days per month, 10 holidays plus 1 floating holiday, birthday leave, bereavement leave, 16 hours per year of volunteer leave, paid parental leave.
- 100% remote work schedule.
- Certification and designation sponsorship, tuition reimbursement up to \$5000 annually.
- Additional benefits: fitness membership reimbursement, internet reimbursement, one month paid sabbatical after 5 years of employment, employee home loan program, donation matching, recognition program, employee referral bonus, and company events.

Why Work for Us? Who are we?

NWAM, LLC dba Northwest Asset Management is committed to fostering, cultivating, and preserving a culture of diversity and inclusion. Diverse and inclusive teams have a positive impact on the services we provide our clients and advisors. We embrace and encourage our employees' difference in age, color, disability, ethnicity, family or marital status, gender identity or expression, language, national origin, physical and mental ability, political affiliation, race, religion, sexual orientation, socio-economic status, veteran status, and other characteristics that make our employees unique. Military veterans and spouses are highly encouraged to apply.

NWAM, LLC dba Northwest Asset Management is an SEC Registered Investment Adviser.

Job Summary

The Compliance Specialist plays a critical role in managing the registration and regulatory compliance processes for SEC and state-registered firms. This position involves overseeing RIA registration processing, customizing Form ADV Parts 2A and 2B, and ensuring timely submission of annual renewal fees. This multifaceted role is essential for ensuring adherence to industry regulations and supporting the operational effectiveness of multiple advisory firms.

Duties and Responsibilities

The Compliance Specialist can expect to focus in the following areas:

- Manage the registration process for SEC and state-registered firms, ensuring all documentation is completed accurately and submitted in a timely manner.
- Customize and edit Form ADV Parts 2A and 2B for multiple advisory firms, ensuring compliance with regulatory requirements.
- Oversee the processing of annual renewal fees for multiple firms and ensure all fees are paid on time to maintain good standing.
- Track continuing education requirements for advisory personnel, sending reminders and updates to ensure compliance with industry standards.
- Facilitate initial Form U4 filings and manage exam window openings for new registrants.
- Maintain and update records in FINRA's IARD system, including U4 and U5, and manage notice filings for registered individuals and firms.
- Monitor and track differences in state registration requirements (e.g., fingerprints, net worth)
- Assist multiple advisers with compliance-related questions
- Contact various regulatory bodies for clarification of filing requirements and guidance on compliance issues.
- Other responsibilities as assigned.

Requirements and Qualifications

- Previous experience working with an RIA or Broker Dealer preferred but not required.
- Bachelor's degree from an accredited college or university required.
- Minimum 2 years compliance experience preferred but not required.
- Securities Essentials Exam required within 6 months of hire date.
- Series 65 required within 1 year of hire date.
- Knowledge of concepts, practices, and procedures of the securities industry, preferably in the investment advisory business with a focus on registered investment advisers.
- Strong organizational and project coordination skills with the ability and experience to handle and prioritize multiple assignments and conflicting deadlines, while providing a high level of client service.
- Ability to work effectively under pressure with tight deadlines, with attention to detail, and the ability to handle conflict and negotiate resolution.
- Ability to be responsible for confidential and time sensitive material.
- Proficiency with windows-based software (e.g. Word, Excel, and PowerPoint) and Outlook is required.
- Excellent written and verbal communication skills – clear, concise and organized.
- Ability to work in a team-based environment, proactively covering and sharing task responsibilities with other team members.
- Be self-motivated, show initiative and creativity in all aspects of work (e.g. creating new methods to streamline tasks).
- Work independently with little supervision and knows when to ask for guidance, clarification, assistance.
- Possess a high level of professionalism, confidentiality, discretion and judgment.
- Team player, with strong coaching and listening skills