



Canterbury Consulting

Job Posting— Compliance Associate

Job Title: Compliance Associate

Location

Note that this position is located at our Newport Beach, California office. We have a hybrid schedule where all staff are expected to be in the office on Tuesdays, Wednesdays, and Thursdays.

About Canterbury Consulting

Canterbury Consulting, Inc. ("Canterbury") is a 65+ person professional services firm that provides investment advice to a broad set of clients with net assets ranging from \$10M to \$2B. Clients are both tax-exempt - public and private foundations, endowments and pension plans - and taxable - corporate plans and high net worth and ultra-high net worth individuals and families - and invest in both traditional assets such as public equities and bonds and alternative assets such as private capital, hedge funds and real assets (commodities, real estate, etc.). Canterbury customizes each client's portfolio based on their needs, wants, risk preferences and liquidity requirements.

Canterbury Consulting was named one of the Best Places to Work by the Orange County Business Journal in 2020, 2021, 2022 and 2023, and Best Places to Work in Money Management by Pensions & Investments for the last three years.

Position Overview

Canterbury is seeking candidates with excellent quantitative, qualitative, and interpersonal skills for an Associate position on Canterbury's Team. The position's primary role will be to engage broadly in various areas of compliance and regulations.

The primary responsibilities of a Compliance Associate are:

- Support the ongoing development of the investment adviser compliance program, working closely with the Chief Compliance Officer to drive enhancement and ensure consistency globally across disclosure documents (ADV and other filings), compliance manuals, and other regulatory documents.
- Manage custody audit, GIPS verification, and various other compliance audits. Assist CCO in quarterly audit activity with Department Heads.
- Assist with review of marketing and client reporting material, and maintain related records.
- Perform ongoing review and testing of firm's compliance policies and procedures.
- Assist CCO in conducting compliance training activity at firm. Help develop policies and procedures for new and growing areas of firm's business.
- Perform review of internal and external communications, in accordance with the firm's compliance policies and procedures.
- Assist in independent second line risk-based testing, themed reviews, and ad-hoc reviews of procedures, business and compliance processes to identify and bridge potential gaps in adherence to applicable laws, regulations, regulatory guidance and policy.
- Support the compliance department with the task of maintaining appropriate and complete



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books and records on compliance related processes and also effective testing of processes.

- Proactively respond to business and regulatory changes as they apply to firm's business activities.
- The individual may be directed to assist in related activities that are not directly tied to compliance during the first 1-2 years as the individual's compliance related responsibilities become a full-time position.

Qualifications:

- Prior experience in compliance at an investment advisory firm preferable.
- Self-driven and able to work independently. Exceptional organizational skills; the ability to effectively prioritize tasks, follow up, produce consistently accurate work, and meet strict deadlines
- Strong problem-solving skills and detail-oriented. Driven by sense of curiosity and desire to understand context around matters.
- Strong communication and presentation skills; the ability to articulate clear ideas/strategies, both verbally and in writing, internally and externally
- Intelligent, bright, critical thinker, and a quick learner with the ability to quickly assess a situation and generate new insights and usable ideas
- Have a strong sense of integrity, behaving consistently with expressed values and ethical principles of the firm.
- A degree in finance, economics, or a related field

At Canterbury, we expect our Associates to learn at a fast pace in a demanding environment, and demonstrate excellent problem solving and interpersonal skills. From your first day on the job, you will be an integral part of the Canterbury process.

Salary Range: \$65,000 - \$85,000

To apply: <https://canterburyconsulting.apscareerportal.com/jobs/2448680/apps/new>