

Job Description

Title: Senior Compliance Associate

Post Advisory Group is a global multi-strategy active credit manager with over \$16 billion of assets under management. Our investment platform offers a comprehensive suite of high yield, senior loan and structured credit products (including CLOs). Post is majority-owned by Principal Financial Group with a minority equity stake held by Nippon Life Insurance Company. Post's mission is to deliver clients customized investment solutions, competitive investment performance and high-touch service while maintaining a culture of integrity, transparency, and professionalism.

As a member of Compliance at Post Advisory Group, the incumbent will be an integral member of the Compliance team ensuring that we maintain our compliance culture, that we meet regulatory requirements, and that we provide assurances for our clients that Post conducts its business in a manner that incorporates best practices and with the utmost integrity.

Reporting to the CCO, the Senior Compliance Associate collaborates with various Post constituencies across the platform inclusive of Post affiliates. The role's primary focus is on compliance testing, regulatory filings, trading compliance, AML reporting, and generally working to support the overall compliance program.

Specific functions include the following:

- Completion of regulatory filings, including but not limited to Form ADV, Form D and Form PF;
- Ensuring overall compliance with the Investment Advisors Act;
- Participation in compliance testing, including transactional, periodic and forensic testing of compliance policies and procedures;
- Monitor investment and trading activity through Post's OMS system (Charles River Development), ensuring trading conducted according to investment guidelines (back up for team);
- Oversight of AML questionnaires and inquiries from clients, stakeholders and regulators;
- Responsible for KYC, OFAC and related questions and questionnaires;
- Chaperoning Expert Network calls;
- Support the administering of Post's compliance policies, including the Code of Ethics; Gifts & Entertainment Policy, and Pay-to-Play Policy;
- Oversight of service providers, as it pertains to vendor compliance management;
- Maintain compliance calendar
- Conduct best execution reviews and meetings.

Skills Required:

- Bachelor's degree, minimum of 5 years relevant experience
- Knowledge and experience with SEC regulations and laws; knowledge and experience with EU, UK, or other international regulations a plus
- Familiarity with Charles River Development and FIS Protegent a plus
- Effective communicator, both written and verbal, as well as highly developed interpersonal skills
- Strong attention to detail, highly organized and resourceful problem solver
- Intellectual curiosity
- Comfortable in a fast-paced environment, ability to multi-task, and excellent follow-up skills
- Confidentiality, discretion, integrity, and diplomacy

Compensation:

The anticipated salary range for this position is \$115,000 - \$135,000, depending on skill set and experience. This position includes an annual discretionary bonus tied to firm and employee performance.

Post Advisory Group offers several additional benefits, including medical, dental, and vision insurance, a 401k program, basic life insurance, and a hybrid work environment.

Interested parties should send their resumes to: RECRUITING@POSTADVISORY.COM