



## Compliance Analyst

### **Description:**

Hunter Associates seeks a professional who will work closely with the Chief Compliance Officer contributing to organizational compliance and the implementation of all compliance processes. This individual will support various internal business units and the management of the firm. The ability to manage multiple complex projects and responsibilities concurrently and effectively is required. We seek a professional with a motivational, inspirational and enthusiastic approach.

### **Duties and Responsibilities:**

- Support the compliance team in ensuring compliance with required investment guidelines, policies, procedures and reporting requirements; including remaining current on all regulatory and compliance developments.
- Provide a high-level of support by preparing and maintaining compliance documentation and reports.
- Collaborating with internal partners to guide development of company compliance policies and best practices and assisting the CCO in keeping management and other personnel up-to-date.
- Managing compliance projects by defining scope, setting milestones, tracking progress and reporting project results to CCO to ensure successful and efficient implementation.
- Assisting the Executive Committee & the CCO with special projects as necessary.

### **Qualifications:**

- A minimum of 3 years relevant experience.
- Series 99 - Operations Professional Exam or Series 9 & 10 - General Securities Sales Supervisor Qualification Examination or similar credentials (if hired without credentials, must possess the ability to complete license within six months of employment).
- Candidate must be able to implement technology tools to support business processes and draw insight, including utilizing advanced excel processes, SQL and other data analytics tools. Must be able to understand IT environment and relevant database frameworks within the firm.
- Excellent analytical, practical problem solving, oral and written communication skills, as well as the capacity to work independently.

### **We offer:**

Hunter Associates provides competitive compensation and an engaging environment centered on freedom with responsibility. Our culture arises from being a team of high-achieving individuals dedicated to helping our clients define and reach their financial objectives. Hunter Associates is an employee-owned, independent wealth management firm. We offer a comprehensive benefit package including a 401(k) and medical, dental, vision, life and disability insurance.

### **About the Firm:**

Hunter Associates' primary goal is to help our clients define and achieve their financial objectives. Our further goal is to provide our associates with growth opportunities, a rewarding experience and a pleasant environment. Our success, both financial and otherwise, will be a by-product of achieving these goals. Member of FINRA and SIPC. [www.hunterassociates.com](http://www.hunterassociates.com)

**To Apply:** Please submit a resume, cover letter, and salary requirements by email to Kelly Speicher. Speicher@hunterassociates.com