



Position: Compliance Analyst

Location: US/Remote

About the company

CSS is a trusted global RegTech partner that uniquely brings together innovative technology- driven solutions to support financial services firms in navigating a clear and strategic path through the complex and fragmented global regulatory space. Our solutions and services help firms meet regulatory deadlines while optimizing compliance data, operations, and technology. CSS covers a full range of global compliance disciplines spanning fund reporting, transaction reporting, investment monitoring, compliance management, compliance services and managed services with a complementary, centralized approach to the strategic management of regulatory data called RBOR (Regulatory Book of Record). For more information on CSS, please visit: www.cssregtech.com.

Job Summary

Working under general supervision, participate in client engagements, generally consisting of services to registered investment advisers and broker dealers. Collaborate on client deliverables with product and services teams. Support regulatory reporting requirements of RIAs and BDs including Form ADV, Form PF, U-4's and U-5's and perform additional compliance analysis and tasks for RIAs and BDs. In this role, the primary focus is to support engagements and provide assigned compliance review services while developing advanced expertise. Contributions to engagements may include onsite work.

Responsibilities:

- Assist with critical compliance services to clients, including filings, the licensing and registration of RIAs and BDs, marketing reviews and regulatory filings.
- Working with consultants and client staff, assist in the design and implementation of marketing review processes, implementing review technology and documenting procedures
- Support the timely completion of client deliverables, meeting delivery commitments while allowing time for review and compilation
- Provide IARD account maintenance services, Form ADV filings including all schedules, and Form PF entry

- Manage personal trading administration, electronic communications reviews, and social media reviews, as assigned; prepare regular reports for clients
- Other duties as assigned

Skills and qualifications (the ideal candidate will have)

- Bachelor's degree in Finance
- **Must have experience working for an investment management company with exposure to their compliance program.**
- Excellent written and verbal communication skills
- Experience with marketing compliance workflows desired

For immediate consideration, send your CV/Resume to: careers@cssregtech.com

Please include the job title in the subject line of your e-mail.

CSS is an equal opportunity employer