



Job Description

Position: Chief Compliance Officer

Firm: Brown Capital Management, Baltimore, Maryland

Qualifications: Bachelor's Degree Required
Higher Degree Preferred
Knowledge of 1940 Investment Advisers Act required
Knowledge of the 1940 Company Act preferred
Compliance Experience - 5 years
Investment Industry Experience - Minimum of 10 Years
IACCP certification preferred

About Brown Capital Management

Brown Capital Management ("BCM") is an independent investment management boutique located in Baltimore, Maryland. Founded in 1983, Brown Capital Management strives to provide clients with above average investment returns and high-quality client service. The Company utilizes a team approach and works in a disciplined manner that attracts and retains experienced, self-motivated professionals who are dedicated to achieving the individual investment needs and objectives of clients.

BCM is focused on a growth approach to equity investing has deep investment experience in both domestic and international markets, and is committed to meeting the investment needs of genuine long-term investors. The company seeks out the exceptional in companies, talent, and clients. Today, BCM has approximately \$13 billion of assets under management.

The firm utilizes a team structure in the management of client assets. The BCM investment approach is fundamental, long-term and high-quality growth oriented. Presently, BCM manages four separate services and four mutual funds which mirror those services. The services and inception dates are as follows: Mid Company (1992), Small Company (1992), International Equity (1999) and International Small Company (2013).

For more information, please visit BCM's website: <http://www.browncapital.com>

Description of the CCO Position: The Chief Compliance Officer Position is a leadership role in all aspects of compliance, developing policies and procedures necessary to maintain a stellar compliance program, updating, monitoring and ensuring the firm remains compliant with the Investment Adviser Act of 1940. This role involves a hands-on approach in monitoring various compliance procedures throughout the year. The CCO has a compliance consultant to assist him/her with various tasks, but the ultimate responsibility for the program is with the CCO. **Applicants interested in this position, should email or mail a resume to dlcourt@browncapital.com or Brown Capital Management, Attn: Donna Courtney, 1201 N. Calvert Street, Baltimore, MD 21202.**



The CCO will have a variety of responsibilities including but not limited to those listed below:

Position Responsibilities:

- Liaison with FAIRVIEW Investment Services on all compliance related issues and monitoring of policies and procedures within the compliance manual
- Complete various compliance monitoring functions as outlined in Compliance Manual.
- Monitor and process political contributions, gifting, mutual fund purchases, and personal security trades for pre –approval.
- Maintain logs for gifting, political contributions and checks
- Review performance composites and marketing presentation materials
- CCO oversees the proxy voting process ensuring proxies are voted on behalf of clients through the Glass Lewis System accurately and as directed by the Portfolio Managers.
- Review all client contracts for anything that raises flags including insurance and fees that might trigger most favored nations
- Attend compliance conferences to stay abreast of new and changing regulations
- Responsible for the composite audit process and ensure the quarterly completion of the GIPS audit
- Liaison with auditors for the SOC 1 audit and ensure the timely completion of the report
- Liaison with auditors for the NYC audit and ensure the timely completion of the report (every 3 yrs.)
- Manage the System Administrator
- Meet with System Administrator weekly to stay on top of his responsibilities
- Update COE and Compliance Manual annually
- Insure all COE reports are distributed to employees and returned in timely manner
- Participate in the BCM Fund Board Meetings
- Present Compliance Annual Review to Management and Board of Directors
- Coordinate with Fairview and BCM personnel and oversee SEC Exam (last review 6/2015)
- Review and write Compliance Questionnaire answers for RFPs, due diligence questionnaires
- Participate in any client due diligence meetings
- Coordinate the BCM Fund CCO due diligence visit
- Serve as the Security Officer for the Data Security Program
- Develop and present an Annual Training Program for all employees on all compliance issues
- Monitor Advent Rules daily and process all overrides requested
- Serve on Business Continuity Committee
- CCO Reports to the President
- Coordinate the BCM Fund CCO's visit.

Software Product Knowledge:

- APX, MOXY, Advent Rules
- Microsoft Office Suite
- Glass Lewis – View Point
- Turning Technologies

Compensation:

Commensurate with experience. BCM offers competitive salary and outstanding benefits.