



September 2021

Compliance Manager

RMB Capital Management, LLC is a rapidly growing Chicago-based investment advisory firm with over \$10 billion in assets under management. We are currently seeking a Compliance Manager for our Chicago, IL office. This position is primarily responsible for the coordination and administration of the compliance program of a registered investment adviser in collaboration with the Chief Compliance Officer. This role assists and enhances all aspects of the firm's compliance program.

Key Responsibilities:

- Manages Compliance Associates and has responsibility for training, supervising, and mentoring associates.
- Assists CCO with drafting, maintaining, and implementing department policies and procedures.
- Assists CCO with review and drafting of legal documents including Investment Management Agreements, Non-Disclosure Agreements, Vendor Agreements, and other legal documents as required.
- Participates in administering the firm's Code of Ethics including monitoring employee trading and affirmations utilizing compliance software.
- Collaborates with other department to revise and implement procedures as required.
- Drafts forensic testing charts and conducts annual audits to ensure compliance with firm policies and procedures.
- Oversees and manages compliance monitoring, testing and the firm's risk assessment matters as necessary.
- Completes periodic (weekly, monthly, quarterly, annual) reviews reports and documents findings in compliance software.
- Assists in coordinating and preparing for SEC\DOL regulatory compliance examinations.
- Assists in the preparation of departmental and regulatory filings including Form ADV, BEA, Schedule 13, and others as required.
- Coordinates with other departments to gather and reconcile information for regulatory filings.
- Maintains FINRA/ Advisor registrations.
- Assists with the review of advertising, marketing presentations, other forms of communication.
- Assists in due diligence review of third-party advisers and sub-advisers.

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- Assists in review and completion of due diligence questionnaires, RFPs, and other external information requests.
- Assists with employee compliance training including firm-wide compliance education.
- Works with the firm's other departments and individuals resolving immediate and short-term compliance issues as they arise.
- Assists in due diligence of potential mergers and acquisitions.
- Works on integration and onboarding of newly merged/acquired firms.
- Performs other related duties as assigned by management.

Experience:

- Bachelor's Degree.
- 5 -10 years of related experience.
- 5+ years of Investment Adviser experience.
- Computer skills required: Microsoft Office and Compliance Systems.
- Excellent oral and written communication skills.
- Excellent organizational and project management skills.

RMB Capital Management, LLC offers a dynamic work environment and competitive compensation and excellent benefits such as:

- Medical/dental/vision/life/disability insurance
- 401(k)
- Flexible spending accounts
- Sabbatical awards
- If you are offered this position, you will be required to share proof of a Covid-19 vaccination

ABOUT RMB CAPITAL

RMB Capital is an independent investment advisory firm. Its businesses include wealth management, family office services, asset management, and retirement plan consulting. Headquartered in Chicago, RMB also has offices in Denver; Jackson Hole, Wyo.; Lake Forest, Ill.; Milwaukee; Minneapolis; New York;; St. Joseph, Mich.; and Washington D.C. To learn more about RMB, visit www.rmbcap.com.



RMB Capital Management, LLC provides equal employment opportunities to all employees and applicants for employment without regard to race, color, religion, sex, national origin, age, disability or genetics. In addition to federal law requirements, RMB Capital Management, LLC complies with applicable state and local laws governing nondiscrimination in employment in every location in which the company has facilities. This policy applies to all terms and conditions of employment, including recruiting, hiring, placement, promotion, termination, layoff, transfer, leaves of absence, compensation and training.