## Compliance Officer

**Description:**

**Heritage Investors Management Corporation, is searching for a Compliance Officer to manage all aspects of the firm’s compliance program.** Heritage, based in Bethesda, MD, is an SEC-registered investment advisor managing approximately $3.4 Billion in assets. Established in 1975, Heritage has consistently delivered value to its clients by understanding their financial objectives and utilizing a disciplined, time-tested investment process that effectively achieves them. Heritage is proud of its track record and its focus on the individual client as the basis for its investment strategy. In addition, the role supports certain HR and finance functions.

**ESSENTIAL DUTIES AND RESPONSIBILITIES**

* Manage, implement, operate and be responsible for the firm’s compliance program.
* Monitor and test the firm’s policies and procedures to determine the adequacy and effectiveness of the firm’s compliance program.
* Prepare and submit all required regulatory filings and disclosure documents in a timely and accurate manner.
* Train and educate employees on regulatory compliance matters.
* Maintain well organized systemic records of the firm’s compliance program.
* Act as a point of contact for regulators (SEC, FINRA).
* Maintain ongoing expertise in federal and state regulatory policies.
* Manage the firm’s annual and surprise audit.
* Support related HR functions.
* Oversee employee personal trading and reporting.
* Support some benefits and payroll tasks.
* Additional responsibilities as necessary.

**QUALIFICATIONS:**

* 3+ years of experience in Financial Services compliance, specifically working with Registered Investment Advisers
* Strong knowledge and understanding of regulatory filings and relevant regulations and laws.
* Proficient in Microsoft Office (Word and Excel).
* Excellent written and oral communication skills.
* Strong customer service skills.
* Ability to work and make decisions independently within a collaborative team environment.
* High attention to detail and accuracy.
* Unquestionable integrity and dependability.

**Benefits include:**

* Full Medical Insurance
* Dental, life and disability insurance
* Eligibility for 401k/retirement plan and profit sharing after 1 year of employment (at first opening thereafter)
* Parking or Metro Card assistance