

Contact Information:

Daniel Newell
GW&K Investment Management
Boston, MA
dnewell@gwkinvest.com

Title: Compliance & Risk Management Analyst

Summary:

In support of GW&K's global asset management business, the Compliance & Risk Management Analyst will assist in the day-to-day administration of GW&K's Compliance & Risk Management Programs, with a focus on program execution, internal controls testing, management of external reviews, and documentation review associated with GW&K's internal controls and risk management framework. The Compliance & Risk Management Analyst will also be expected to assist in ad hoc projects and analysis in addition to day-to-day responsibilities. The Compliance & Risk Management Analyst must have basic knowledge of the equity and fixed income markets, including an understanding of financial instruments such as municipal bonds, corporate bonds and equities. The Compliance & Risk Management Analyst must be effective and comfortable communicating with fellow GW&K employees and external parties, have strong interpersonal skills, and be capable of working both within a team environment and independently on particular projects. The successful candidate will be self-motivated, proactive, energetic, inquisitive and persistent.

Responsibilities:

- Manage personal conduct policies, systems and implementation – including Code of Ethics, Political Contributions/Pay-to-Play Policy, Personal Conflict screening and related requirements
- Assist with Annual Compliance Program review, and the design and implementation of regular ongoing forensic testing and risk management reviews
- Manage periodic US and global regulatory reporting requirements, and selected client reporting requirements and due diligence obligations
- Support GW&K audit, oversight and (when applicable) regulatory examination response processes, including System and Organization Controls Report (SOC-1) and related processes
- Participate in existing and prospective client and vendor due diligence processes, including marketing materials and RFP/DDQ processes
- Complete specified daily and periodic tasks in support of regulatory obligations and GW&K policy requirements
- Such other duties as may be assigned from time to time

Qualifications:

- Bachelor's degree with 5+ years of relevant Compliance and Risk Management experience at an investment management firm, with broad-based experience at a global asset management firm preferred
- Knowledge of Investment Advisers Act and SEC regulation of investment advisers
- Demonstrated attention to detail, organizational skills and ability to effectively prioritize and follow through
- Strong written and oral communication and interpersonal skills
- Proficiency in Microsoft products, financial services tools and willingness to learn in-house applications and systems
- Experience with investment compliance, personal trading/conduct and other compliance systems, with systems implementation and management experience preferred
- Commitment to GW&K's team-based culture, values and ethical principles is essential