



M A R I N E R

Compliance Administrator Mariner Investment Group, LLC

Firm Overview:

Mariner Investment Group, LLC (“Mariner”) is an international alternative investment management firm with approximately \$10 billion of assets under management, predominantly in fixed income relative value and credit strategies. Founded in 1992, Mariner engages creative, highly skilled professionals who provide unique depth and breadth of investing experience, enabling Mariner to partner with our investors in a wide range of specialized and diversified mandates. For more information regarding Mariner, please visit www.marinerinvestment.com.

Position Overview:

Mariner is seeking an individual to be a **Compliance Administrator** in its Legal & Compliance Department to serve as a junior level compliance team member as well as manage certain administrative needs of the department. The position is based in Harrison, NY, although the person may need to work in New York City periodically.

Main Responsibilities:

- Assist in the administration of all aspects of the Firm’s Code of Ethics (e.g., quarterly and annual certifications, personal investment pre-clearance and monitoring, account statement review, gifts & entertainment, outside business activities/conflicts of interest, political contributions review and pre-clearance, Informational Barrier Monitoring (aka Chinese Wall), Inside Information Monitoring, Approval of Use of Third Party Consultants and monitoring, maintenance of Firm’s Watch and Restricted Lists etc.);
- Assist with new employee onboarding and initial Code related training (e.g., new hire application review, back-ground check review, Code of Ethics and other compliance related system set-up efforts);
- Assist with preparation of committee meeting materials;
- Assist with the maintenance of the Compliance team’s “Compliance Calendar” (e.g., procedurally required periodic testing and outputs), “Responsibility Matrix” (team personnel assigned compliance tasks) and “Risk Matrix” (“heat map” of identified compliance risks);
- Assist with the maintenance and update of the Firm’s compliance manuals, presentations and training materials;
- Assist with employee email surveillance program;
- Schedule meetings and maintain respective calendars of Senior Legal/Compliance Team Members
- Arrange travel for Senior Legal/Compliance Team Members;
- Answer Senior Legal/Compliance executives’ phones (CCO/GC) and respond to inquiries and requests on their behalf as appropriate;
- Prepare departmental invoices for processing including legal bill reimbursement;
- Review and Distribution of Legal and Compliance mail.



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Education, Skills, & Experience:

- BS / BA degree in Accounting, Business or Finance.
- 2-4 years' experience as a compliance administrator in a Legal or preferably a Compliance Department at a registered investment adviser.
- Investment Compliance, Fund Compliance, Front office trading, Operations or Audit experience highly desirable.
- Experience with ComplySci, Global Relay, Advent Geneva systems a plus, but not required.
- Self-motivated individual with the willingness to learn and take on additional responsibilities over time.
- Organized, **detail-oriented**, accurate, motivated, team player who can work with, and properly handle, sensitive and confidential information.
- Proficiency in Microsoft Office (PowerPoint, Excel, and Word).
- Strong written and verbal communication skills.
- Works well under pressure with the ability to multitask and prioritize workload while adhering to strict deadlines.

Contact: Brian Dillon, Chief Compliance Officer; bdillon@marinercapital.com; 914-670-4341