

RIA Compliance Officer (Part Time)

Company Profile: Advisor Partners, LLC (AP), is an SEC-registered investment advisory firm (RIA) established in 2001 that provides a broad range of sophisticated financial investment solutions and turnkey asset management programs to a select group of independent advisors and financial institutions. Currently managing in excess of \$700 million, AP has an experienced team of professionals dedicated to helping advisors spend more time working with clients and running a more profitable, efficient practice. AP is located in Walnut Creek, CA. Additional information on Advisor Partners, LLC can be found at www.advisorpartners.com.

Position Summary: Advisor Partners, LLC is seeking an organized, detailed and energetic Compliance Officer to oversee its program of compliance with federal securities laws and other financial industry regulations and to report to the firm's Chief Compliance Officer. This is a part time position of approximately 10 to 15 hours a week. The work schedule is flexible and is ideal for an experienced Compliance Officer looking to practice their skills while enjoying an accommodating work schedule.

Responsibilities

- Maintain and manage a comprehensive compliance program for the firm that meets all of the requirements of the regulatory agencies governing the firm.
- Assess risks, conduct testing and assist in establishing controls to mitigate risks, on an ongoing basis and when new rules are issued by regulatory agencies
- Complete periodic reviews and audits of compliance program and policies.
- Complete annual and other updates to Form ADV (as required) and annual distribution of ADV offer letter.
- Review of all advertising and marketing materials to ensure compliance with appropriate SEC and GIPS rules and regulations.
- Review new accounts at onboarding to verify compliance with client mandates
- Maintenance of the Firm's Code of Ethics including monitoring of personal securities transactions and gifts and entertainment.
- Maintenance of the Firm's Proxy Voting Policy, Privacy Policy, and ensuring compliance therewith.
- Respond to client due diligence requests
- Responsible for development and continual maintenance of cybersecurity and business continuity plan.
- Integrate effectively with the firm's operations, investment, and marketing teams to bring a compliance voice into daily client service activities.

Qualifications

- Minimum Bachelor's Degree
- Minimum five years similar or related experience
- Knowledge of SEC rules and regulations
- Knowledge of Global Investment Performance Standards (GIPS)
- Ability to organize and prioritize work load

Salary commensurate with experience. We are an Equal Opportunity Employer.

To apply, please send cover letter and resume to mfarmer@advisorpartners.com . You must put **Compliance Officer** in the subject line.