



Compliance Manager - San Francisco office

New Forests is a global specialist forestry, rural land and environmental investment Management Company headquartered in Sydney, Australia, with offices in San Francisco and Singapore.

We are looking for a Compliance Manager to work as part of our US based team. You will have direct reporting to the Director, Legal Risk & Compliance, based in Sydney Head Office (with matrix reporting to Executive Director, San Francisco). Whilst you will work under their guidance, you will manage the day to day compliance function, at a local level.

To be successful in this role, you will be capable of self-managing to meet deadlines and able to work effectively with staff at all levels within the organisation. You will own your processes within the team, and by implementing and managing the US Group Risk Compliance program, you will be promoting a culture of compliance for the New Forests' United States business.

Your responsibilities will include, but are not limited to:

1. Preparing for investment adviser registration

- Initial design & implementation of the US code of ethics, compliance and risk framework
- Initial design & implementation of the compliance monitoring program
- Preparing the various SEC submissions for the RIA filing (to be assisted by ACA Compliance Group)

2. Post investment adviser registration

- Maintenance of: the US code of ethics; compliance and risk framework; compliance monitoring program
- Undertaking marketing and advertising reviews; facilitating employee electronic communication reviews
- Undertaking annual and periodic employee compliance training (induction & ad hoc); answering employee compliance-related queries
- Overseeing the day to day administration and implementation of GRC systems (MCO & TriLine GRC); assisting employees in the implementation of controls for obligations in TriLine GRC
- Preparing reports to the Risk and Compliance Committee and Board of Directors
- Keeping abreast of changes to rules, regulations and legislation, as it affects the US business
- Completion of filings
- Conducting the Annual Compliance Review; periodic review and updating of the Regulatory Compliance Manual
- Facilitating mock SEC examinations in conjunction with external consultants; preparing for and managing an SEC examination, when required.

Experience & skills required:

- At least five years' experience in this type of compliance role
- Experience should be in a funds management environment (or similar)
- Thorough knowledge of the Californian & Federal securities legislation
- Experience with pre & post advisor registration responsibilities
- Experience managing REIT compliance (preferred)
- Business degree or equivalent
- Excellent organisational skills
- Excellent written and verbal communication skills

- Strong attention to detail
- Comfort with managing multiple conflicting priorities, with a capability to ensure the completion of a number of competing tasks and objectives.
- A positive, can do attitude with the ability to maintain a calm demeanour during busy periods.

What can we offer?

If you join us you would be joining a growing, fast paced business which is an environmental & sustainable leader in carbon trading. You will also be working with professionals who are passionate about their work!

This newly created role is a great opportunity for a compliance professional to take their next career step.

To Apply

Please apply by sending a cover letter and resume explaining your interest in and qualifications for the position, in PDF format. to careers@newforests.com.au