



Chief Compliance Officer

Location: San Francisco, US

Reporting to: Global Head of Risk & Compliance New Forests Group (Matrix reporting to Managing Director, US)

New Forests (www.newforests.com.au) seeks a motivated and suitably experienced professional for the above position. This role provides independent oversight and coordination of the corporate-wide risk and compliance program that promotes a culture of compliance and the highest standards of ethics, integrity, and responsibility. The role works with the New Forests Inc. Board of Directors, management and employees to: support and ensure corporate and fund compliance with the requirements of applicable law and regulatory agencies, including state-level corporate compliance and REIT compliance; support and ensure staff compliance with company policies and procedures and the New Forests' Code of Conduct. Whilst working under the guidance of New Forests' Global Head of Risk & Compliance, based in Sydney, Australia, the incumbent will manage the day to day risk and compliance function, at a local level.

New Forests is an investment management business offering leading edge strategies in forestry, land management, and conservation. Our business intent is to manage sustainable landscapes for production and conservation and to generate shared value for our clients and the communities where we operate. Founded in 2005, we offer institutional investors dedicated investment strategies in Australia-New Zealand, United States and Southeast Asia and have over USD 4.0 billion in assets under management. We manage sustainable timber plantations, natural forests, forest carbon projects, rural land, and processing infrastructure. New Forests is headquartered in Sydney with offices in San Francisco, Singapore, New Zealand and Melbourne.

Specifically, you will be responsible for:

- Acting as a “named” CCO for our SEC registered investment adviser
- Developing, maintaining and enforcing RIA policies and procedures
- Tracking all material fund and corporate compliance obligations and managing such in corporate compliance software
- Working with internal and external counsel to support onboarding of new compliance obligations with new funds or corporate entities
- Engaging in testing of controls and monitoring for adherence to corporate policies, fund and corporate compliance obligations
- Conducting annual compliance reviews under Rule 206(4)-7
- Maintaining Form ADV Parts 1 and 2 (including disclosures brochure)
- Acting as the primary contact for regulatory examinations
- Conducting the Annual Compliance Review
- Facilitating mock SEC examinations, in conjunction with external consultants; Preparing for and managing SEC examinations, when required
- Working closely with all areas of the business to ensure adherence to the company and regulatory procedures
- Administering IARD and coordinating regulatory filings
- Assisting in conducting compliance training/education and answering employee compliance-related queries

New Forests, Inc

235 Pine Street, Suite 1475, San Francisco, CA 94104, United States

T +1 415 321 3300 | F +1 415 321 3330 | newforests-us.com

- Conducting a communication and marketing review
- Reviewing, assessing and approving employee trading, Outside Business Activities and Private Securities Transactions
- Identification, mapping and management of corporate and fund compliance obligation and risk controls, and associated controls/mitigations
- Assist in conducting corporate and fund risk register reviews
- Advising, supporting and challenging management in the application of framework and policy components, including risk and control identification and assessment, incident management, issue management, and risk acceptance.

We are looking for candidates with:

- Minimum of five (5) years of compliance or supervisory experience within an SEC registered investment adviser, retail broker/dealer or funds management environment
- Experience with pre & post advisor registration responsibilities
- Experience managing REIT compliance (well regarded)
- Proven working knowledge of the Investment Advisers Act of 1940 and SEC regulations
- Bachelor degree in business or equivalent (a legal qualification would be well regarded)
- Ability to resolve complex problems and escalate as necessary
- Ability to identify issues and trends in order to anticipate change, along with the ability to undertake independent research related to financial regulation, and to provide comprehensive recommendations for action to be taken
- Evidence of strong leadership capabilities and ability to influence management decision making
- Strong written and verbal communication skills
- Excellent organisational skills related to time management and prioritising; Ability to work well under pressure and deadlines ensuring completion of competing tasks and objectives.
- Must be a team player, with desire to work with colleagues at all levels within the organisation.
- Strong MS Office skills
- Ability to work independently and to take ownership of the role
- Ability to adapt to change quickly
- A demonstrated interest in/knowledge of sustainability.

What can we offer?

Our environment is busy and supportive, and the team is professional but relaxed. If you join us, you would be joining a growing, fast paced business which is an environmental and sustainable leader in forestry investment. You will also be working with professionals who are passionate about their work!

To apply, please provide your resume and cover letter, explaining your interest and qualifications for the position, in PDF format, to careers@newforests.com.au

Phone calls will not be accepted.

New Forests is an Equal Opportunity Employer who values diversity and inclusion. We offer flexible working arrangements to all employees to support their work/life balance.