



## Employment Opportunity Chief Compliance Officer

### Chief Compliance Officer

The Chief Compliance Officer will lead all aspects of the firm's regulatory compliance program with respect to its status as an SEC-registered investment adviser and direct information technology and cybersecurity initiatives. The successful candidate is adept at identifying and managing regulatory risk and collaboratively leading and implementing policies and procedures across departments. S/he is diplomatic, accountable, and unselfish and embodies and promotes a firm culture and leadership team initiatives that support the core values, mission, and vision of the Firm and its clients.

### Job Summary

The CCO will work closely with the firm's Management Committee and external counsel and compliance consultants to oversee and update regulatory compliance policies of the firm. The CCO will also work with the compliance and legal teams of Focus Financial Partners, CornerStone's parent company. This is a full-time salaried position with work location in our office in Charlottesville, Virginia. CornerStone offers a generous benefits package including paid time off, group health insurance, short- and long-term disability insurance, life insurance, and employer match for retirement plan contributions.

### Core Responsibilities

- Manage regulatory inquiries and third-party compliance program reviews
- Prepare all regulatory filings, including Form ADV and Form PF, and adhere to reporting and filing deadlines
- Maintain and implement the 206(4)-7 program, including compliance manual policies and procedures and testing programs for effectiveness, and an annual calendar of compliance priorities
- Monitor regulatory changes and developments and ensure any necessary updates are made to compliance policies and procedures
- Provide investment compliance oversight, coordinating with the Investment Committee on client investments (including monitoring operational due diligence and background checks on underlying managers)
- Review and edit various client reports and marketing materials, including RFPs, and develop appropriate disclosures
- Oversee Code of Ethics and staff compliance with personal trading, outside business activities, and political contributions
- Work closely with IT service provider on information security and implementation of new network equipment and software, and to stay abreast of technology advancements from a compliance perspective
- Develop and implement compliance training and education and liaise with service providers for network security testing and cybersecurity training
- Work with internal staff to perform annual reviews of outside vendors
- Communicate effectively with Firm leaders, staff, and institutional clients.

## Requirements

- 8+ years of relevant experience, including managing and administering a regulatory compliance program for a registered investment adviser
- Extensive knowledge of the Investment Advisers Act of 1940, AML/KYC and related rules, and financial services industry best practices
- Experience with regulatory examinations, third-party compliance program reviews (“mock audit”)
- Understands information security, SEC’s cyber security initiatives, and data management best practices
- Experience working with institutional clients such as endowments, foundations, and private funds
- Working knowledge of relevant regulations and regulatory trends impacting OCIOs or allocators is preferred
- Minimum BA, BS in finance, accounting, or business-related major; legal, audit, banking, private equity or startup career backgrounds very helpful
- IAACP (Investment Adviser Certified Compliance Professional) or CRCP (Certified Regulatory and Compliance Professional) designation a plus
- Proficient in MS Office, including Outlook, Word, Excel, and PowerPoint,
- Familiarity with compliance platforms/monitoring tools such as Smarsh and ComplySci helpful
- Must authorize a pre-employment background investigation.

## About CornerStone Partners

CornerStone Partners ([www.cstonellc.com](http://www.cstonellc.com)) is an outsourced investment office (OCIO) located in Charlottesville, Virginia. Our clients are all non- or not-for-profit institutions that rely on the returns generated by their investment portfolios to fund missions in health, education, conservation, and building and improving communities. A registered investment adviser with the U.S. Securities and Exchange Commission, CornerStone manages institutional investment portfolios and offers full scale back-office support to its clients. The firm offers a close-knit, highly competent, collaborative team environment with low turnover and high retention. Currently employing 30 investment and operations professionals, CornerStone Partners is a dynamic, growth-oriented firm committed to developing a diverse and equitable workforce.

## To Apply

Please submit a resume and cover letter to: Susan Holtzman, HR Manager: [careers@cstonellc.com](mailto:careers@cstonellc.com).

CornerStone is not able to sponsor employees who would require a visa to work in the U.S.