

## **About Xponance**

Xponance is a registered multi-strategy investment firm with approximately \$13 billion in assets across multiple strategies including manager of managers, systemic equities (index products), fixed income, as well as the firm also serves as a sub-advisor on a CIT platform. Xponance's primary goal is to be a trusted client solutions partner. Our name is derived from the word "exponent" and dually connotes our core objectives - to be a zealous champion for our clients; and to provide higher level engagement with a broader array of solutions to meet our client's investment needs. We are employee owned by women and diverse professionals, whose common passion is to do the right thing for our clients and each other.

Our commitment flows into our mission, which is to strive to serve our clients as a trusted solutions partner with investment excellence generated by diverse and entrepreneurial professionals, that remain our lodestar as we grow, diversify, and expand:

1. **Earn the privilege to serve our clients:** We listen and go the extra mile to earn their trust.
2. **Ownership:** We are stakeholders that are fully accountable to our clients and each other.
3. **Working Together:** We challenge each other to sharpen our insights, embrace diversity, and expect integrity and mutual respect.
4. **Facts matter:** We leverage data and technology to derive optimal solutions for our clients.

## **Opportunity – Senior Compliance Officer**

Xponance is seeking an ethical, teamwork driven compliance professional to provide value to the Legal and Compliance Department as its Senior Compliance Officer. The Senior Compliance Officer will report to the General Counsel & Chief Compliance Officer (CCO) and will assist in the development and maintenance of the Firm's compliance program and regulatory compliance requirements. The successful candidate must be knowledgeable about the Investment Advisers Act of 1940 and other regulations applicable to registered investment advisers. The role will have lead responsibility for compliance monitoring and support of marketing activities, submission of periodic compliance deliverables to clients, oversight of sub-manager compliance programs, and submission of certain regulatory filings. The candidate will also be expected to play an active role within the broader investment management industry including participation in industry associations and similar opportunities to shape compliance best practices.

This position is based in Philadelphia, PA but will require periodic travel to the North Carolina office.

### Principal Responsibilities:

- Maintain the compliance calendar and track project deliverables
- Collaborate with the Marketing Team to review marketing materials and monitor social media presence
- Oversight and document annual review of sub-manager compliance programs
- Collaborate with various teams in gathering information for submission of periodic compliance deliverables to clients, responses to prospective client inquiries, and regulatory examinations
- Provide data entry assistance and data quality support for regulatory filings (Form ADV, Form PF, 13 Series filings, etc.)
- Fact-finding, upon the direction of the CCO, on new compliance-themed industry requirements and risk alerts
- Support the compliance risk assessment process and the compliance testing program
- Perform other related duties and ad hoc projects as assigned

Education/Experience/Skills:

- Bachelor's degree required; advanced degree a plus
- IACCP certification
- Eight years of relevant business experience in investment management compliance (either in house or consulting) with significant knowledge of advertising and marketing requirements
- Knowledge of ethical practices and standards in the financial services industry
- Capability of fostering a "Culture of Compliance" as an example of the firm
- Superb verbal and written communication skills with a maniacal attention to detail
- Ability to independently advance projects with limited oversight and judgment to know when to seek supervision
- Team-oriented
- Proficiency in: Word, PowerPoint, SharePoint, and Excel

Candidates interested in the Senior Compliance Officer opportunity can forward a resume to: [mgoss@xponance.com](mailto:mgoss@xponance.com)