

JOIN OUR TEAM!

We are growing and looking for teammates that value a cutting-edge entrepreneurial environment along with a strong team approach to getting the work done. Schechter is a 3rd generation financial advisory firm focused on Investments, Private Capital and Life Insurance for High Net Worth (HNW) clients. We are a curious, knowledgeable team that always strives to deliver the right strategy for the client.

We dig deep into the numbers, we vet, and research concepts and we deliver with the highest level of service. **It's who we are.**

OUR CORE VALUES



Clients' needs first



Create a complete "WOW" experience for clients and our staff



Cutting edge knowledge – we strive to be the experts



A special place to be

Watch
our
video



Compliance Analyst

JOB DESCRIPTION

Schechter's Compliance Department provides service, support, and advice to promote the Firm's growth and development while helping employees and the Firm meet their regulatory obligations, and more broadly, to preserve and enhance our reputation for integrity. The Compliance Associate will report to the Chief Compliance Office and assist with the day-to-day administration of the Advisor's compliance program.

ESSENTIAL JOB FUNCTIONS

- Review, maintain, and update SEC regulatory filings (ADV Part 1, ADV Part 2A & 2B, Form CRS, Section 13 Filings, etc.) and FINRA licensing and registration filings (Form U4, Form U5).
- Develop, maintain, and update the Firm's compliance policies and procedures. Conduct employee training with respect to the compliance program
- Conduct annual SEC compliance reviews pursuant to rule 206(4)-7 by assessing the Advisor's policies and procedures, testing of the policies and procedures, and ensuring proper documentation, recordkeeping, and escalation to management.
- Conduct risk assessments of Investment Advisor operations; recommend risk mitigation techniques and controls
- Review marketing materials and investor communications to ensure compliance with relevant laws and regulations, most notably SEC rule 206(4)-1 (the "advertising rule").
- Oversee the day-to-day administration of the Firm's code of ethics/personal trading policies through the Firm's compliance software.
- Research and respond to Schechter teammate compliance questions and requests.
- Conduct appropriate surveillance of business activities, including a review of investment allocations and investment guidelines and restrictions.
- Interact with various departments within the organization to ensure consistency in policies and procedures.
- Monitor new legal and regulatory developments and update policies and procedures accordingly.
- Special projects as necessary.

KNOWLEDGE, SKILLS AND ABILITY

- Bachelor's degree required, advanced degree a plus.
- 2+ years of experience in a compliance function for a SEC-registered investment adviser, preferably one that manages retail high-net-worth clients.
- Strong understanding of the financial service asset management industry, securities markets, as well as knowledge of securities laws and regulatory interpretations that relate to investment advisers (e.g. the Advisors Act, the '40 Act, the Securities Act, the Exchange Act, and applicable FINRA & ERISA rules).
- Has the ability to analyze situations for compliance and business risk as well as recommend & implement solutions to address and mitigate such risk.
- Possess a high moral character and professional integrity.
- Excellent written, oral and presentation skills.
- Meticulous attention to detail and highly accurate.
- A self-starter that enjoys a team-oriented approach

Location

- Birmingham, MI. (Possibility for remote work)

Please send your resume to careers@schechterwealth.com