



Appleton Partners, Inc. is a privately-owned Boston-based registered investment advisor offering a variety of high quality strategies in the equity and fixed income space. The firm has over \$9.3 billion in assets under management and has seen steady growth since the firm was founded in 1986. We are currently looking to add to our Compliance Department. This role will work directly with Appleton's Chief Compliance Officer on provisions of the Investment Advisers Act of 1940 and the compliance function for the Advisor.

## Compliance Officer

### Key Responsibilities/Duties:

- Perform core compliance functions to assist in implementing, monitoring, reviewing, testing, analyzing and maintaining policies of the Advisor's Compliance program.
- Possess working knowledge of registration requirements for the Advisor to assist in conducting ongoing responsibilities related to registration with the appropriate regulatory agencies.
- Assist in reviewing and monitoring marketing materials for the Advisor for compliance with applicable standards.
- Assist with the organization of various client or vendor agreements as necessary
- Assist in conducting compliance reviews and training on regulatory topics.
- Assist CCO in execution of a rolling program of internal compliance
- Assist with any preparations of any inquiries and audits from regulatory authorities.
- Become proficient on API's systems and core business strategies.
- Willingness to enroll in and complete certification of IACCP.
- Keep current on recent compliance and regulatory issues, trends, new laws and regulations, upcoming developments. Attend regulatory & compliance seminars and conferences.
- Take an interest in researching practices that may present regulatory risks for the Advisor; participate on the firm's Risk Committee.
- Perform other related duties as needed to fortify the firm's culture of compliance

### Requirements:

- 3+ years of compliance experience in the investment services industry
- Solid understanding of the Investment Advisers Act and related advisor regulations
- Experience with US regulators, particularly the SEC, a plus
- Ability to work as part of a team while maintaining a proactive, creative solution-based process
- Outstanding professional standards and confidence to collaborate effectively with all colleagues
- Strong interpersonal, oral and written skills
- High level of comfort with technology

### Education:

- Bachelor's degree

### Projected date of hire:

January 31, 2019

### Contact information:

Interested candidates should send resume and cover letter to: Michele Hubley at [Mhubley@appletonpartners.com](mailto:Mhubley@appletonpartners.com)