

## **CHIEF COMPLIANCE OFFICER / COO**

### **About the Company**

Located in El Segundo, California, Huber Capital Management is a registered investment adviser providing investment advisory services to individual, corporate, pension, public, endowment, foundation, mutual fund and other clients.

### **The Position**

Huber Capital Management is seeking an onsite Chief Compliance Officer/COO with a minimum of 3-5 years of relevant experience. This position will also have oversight responsibilities for the firm's Operations. The position will be responsible for oversight of all functional units of the firm and will also be responsible for managing the day-to-day operations of the Compliance Program - initiating, enhancing, maintaining and revising policies and procedures for the general operation of the Compliance Program to accord with requirements of the Investment Company Act of 1940 and the Investment Advisers Act of 1940.

Specific responsibilities include, but are not limited to:

- Develop and periodically review all aspects of the Compliance Program to ensure continuing relevance, providing guidance to management and employees from industry best practices and regulatory developments. Maintain all compliance policies and procedures and provide compliance guidance, monitoring, oversight and testing;
- Review, draft, and implement policies and procedures to effectively comply with new regulatory requirements and to strengthen the overall compliance program;
- Proactively identify potential areas of compliance vulnerability and risk; develop/implement corrective action plans for resolution of problematic issues, and provide general guidance on avoiding or handling similar situations in the future;
- Respond to any regulatory (or other) examinations, inquiries, or audits;
- Institute and maintain an effective compliance communication program for the organization, including promoting heightened awareness of compliance requirements, understanding of new and existing compliance issues and related policies and procedures. Provide compliance training to new hires as well as continuing education for existing employees;
- Design, conduct, and refine the Annual Compliance Program Review;
- Maintain and monitor compliance with client restrictions and guidelines;
- Promptly file any regulatory filings;
- Ensure and maintain GIPS compliance and all related policies and procedures;
- Review all marketing and advertising materials as well as RFPs and DDQs;
- Review employee quarterly compliance materials and reporting (e.g. Code of Ethics and other policies and procedures);
- Review regular mutual fund filings and reporting requirements;

- Oversight of all functional units of the firm to achieve both efficiency and scalability;
- Implement any new procedures or systems to strengthen governance, organizational structure, and processes;
- Monitor and review all vendors, contractors, and systems;
- Lead special projects designed to grow and transform the business;
- Human Resources functions, including onboarding employees, managing payroll and benefits, and assisting in recruiting talent, building teams, and navigating personnel matters;

### **Requirements**

- Minimum 3-5 years of relevant experience;
- Bachelor's degree preferred;
- Knowledge of investment adviser services and operations and applicable rules and regulations. Candidate must be familiar with the SEC's regulatory environment and requirements, with knowledge of the Investment Adviser's Act of 1940 and the Investment Company Act of 1940; ERISA, UCITS, and CFTC knowledge a plus. The candidate should be able to add value to the compliance program upon hire;
- Knowledge of all operating aspects of an investment management firm, including including operations, technology, accounting, compliance, legal, HR, investments and sales;
- Proficiency with respect to GIPS rules and requirements;
- Understanding of leading best practices in compliance and experience in developing and implementing compliance systems and processes;
- Ability to anticipate, monitor and control compliance risks and to interface directly with regulators;
- Willingness to develop a strong professional network and to keep current with best practices and with proposed regulatory changes affecting the firm.

### **The Candidate**

In addition to displaying a strong commitment to a culture of compliance, personal characteristics necessary for this role include:

- An exemplary standard of integrity, ethics, and judgment;
- Innovative thinking with the ability to translate ideas into new policies, procedures, processes or tools;
- Ability to multi-task, excellent time management and organizational skills, and the ability to work well both unsupervised and in a team-oriented environment;
- Strong analytical and problem-solving skills;
- Strong communication and presentation skills.

Please send resumes to: [HR@hubercap.com](mailto:HR@hubercap.com)