



Compliance Specialist (Richmond, West End area)

Thompson, Siegel & Walmsley LLC (“TSW”) is a prominent investment advisory firm offering a team oriented corporate culture and a stable work environment. TSW is looking for a team player to make a difference as a Compliance Specialist. This is a perfect position for someone who loves processes and systems, pays attention to details, communicates well, and gets excited about a fast-paced team environment! Qualified candidates will have a passion for perfection, excitement for completing tasks, positive energy, honesty, and a team spirit.

Primary Responsibilities

This position will serve in a supporting role within the Compliance Department, specifically responsible for assisting with compliance monitoring and updates within the trade/order management system; forensic testing; regulatory filings and reporting; contract and investment guidelines set-up and review; clerical support for the Compliance Team; in addition to other special projects and compliance tasks as needed. The Compliance Officers will have the day-to-day oversight of this position, with the Chief Compliance Officer as the reporting supervisor. The position responsibilities will include interaction with various internal departments of the firm as well.

Specific Responsibilities include but are not confined to:

- Providing daily assistance on Charles River (the firm’s trading/order management system, and pre-trade and post-trade compliance monitoring tool)
- Providing assistance on investment restriction updates as needed
- Providing daily assistance on cash updates
- Providing assistance with proxy voting administrative duties
- Providing assistance with forensic testing; including trade blotter analysis, allocation testing, reconciliations, fees analysis, gifts and entertainment testing, side-by-side trading analysis, compliance rule testing, and other tests
- Performing anti-money laundering reviews for client on-boarding and ongoing reviews
- Providing assistance with preparation and logging of all client contracts and updating elements of the database
- Providing assistance with the maintenance of investment guidelines and reporting requirements within a compliance matrix
- Assisting in the preparation of certain regulatory filings and reporting
- Scheduling and preparing compliance meeting presentations
- Assisting in the maintenance of the Policies and Procedures Manual and Code of Ethics
- Collaborating with compliance personnel to standardize processes and maintain procedures
- Providing ad-hoc support to other departments on compliance related requests and on various projects as needed



Minimum Requirements:

- Enthusiastically participate in a team environment and support the Core Values of TSW: *Focus, Integrity, Teamwork and Excellence*
- Bachelor's Degree and/or 3 to 5 years of related experience in equivalent field
- Familiarity with trading/order management systems, investment adviser compliance, and investment operations a plus
- Proficient with Microsoft Office products, with expertise in Word, Excel and PowerPoint
- Commitment to following processes and systems
- Strong verbal and written communication skills
- Superior organization skills and dedication to completing projects in a timely manner
- Detail oriented and comfortable working in a fast-paced office environment

If you are interested in this exciting opportunity to join our team of professionals, please submit your cover letter outlining your qualifications, a resume, and your salary history.

- Location: Richmond, West End area
- Compensation: Competitive compensation and benefits package
- TSW is an equal opportunity employer

Please send resume, cover letter and salary history to: Kay O'Driscoll (kodriscoll@tswinvest.com) and Heather Smith (hsmith@tswinvest.com).