



Job Title: Compliance Specialist

Description

Westmount Asset Management is seeking an experienced Compliance Specialist to work closely with the Chief Compliance Officer (CCO) in managing and implementing a broad array of compliance activities. Under the guidance and direction of the CCO, the Compliance Specialist will focus on carrying out the year-round schedule of compliance tasks, as well as undertake special compliance-related projects as they arise. He or she will also work with our marketing team to proofread and edit our marketing collateral to ensure adherence with commonly accepted compliance standards.

The successful candidate will be highly proactive and task-oriented. He or she will be a confident communicator and critical thinker who is comfortable working with colleagues across all levels, including partners and senior managers. He or she should be highly organized and detail-oriented, and should have a proven track record of balancing multiple projects at once with minimal supervision. Strong analytical skills and ability to work independently are also critical for the role. The position offers significant opportunities for advancement within compliance at the firm.

Key Responsibilities:

- Work closely with the CCO to implement the annual schedule of compliance activities.
- Take the lead in conducting our annual compliance review.
- Work with our compliance consultant to submit our Form ADV, as well as U-4s and U-5s, as needed.
- Serve as the primary point of contact with our compliance and cybersecurity consultants, and reach out to them as issues arise.
- Manage the compliance vetting process on all marketing collateral. Work with the marketing team to review new content to be published, provide edits, and present drafts to the CCO for final review check.
- Review our LinkedIn content through the lens of compliance as new content is being prepared for posting.
- Review trade errors and prep trade error forms for CCO's review and sign-off.
- Provide training on our Code of Ethics and Cybersecurity protocols to new employees during the orientation stage.

Skills and Qualifications:

- Minimum of 2 years' experience in compliance, preferably at either an RIA or compliance consulting firm.
- General familiarity with SEC-related compliance concepts and standards.
- Takes a proactive approach, enjoys working independently and likes to get things done.
- Very well organized and detail-oriented.
- Works well across teams and with personnel at various levels of the organization.
- Excellent at follow-up and seeing projects and tasks through to successful completion.

About Westmount

Based in Los Angeles, Westmount Asset Management is an independent investment advisory firm that helps individuals, families, foundations and endowments manage, protect and grow their wealth. Westmount excels in identifying compelling alternative investment opportunities that complement more traditional asset classes. Coupled with personalized financial planning tools and strategies, Westmount clients benefit from our team's depth of experience, conflict-free advice and 30-year investment track record. As one of LA's oldest registered investment advisors, Westmount and its professionals have repeatedly been recognized in various local and national publications, including *Barron's*, the *Financial Times*, *InvestmentNews* and more.

To Apply: This position is based in Century City, CA. ONLY LOCAL CANDIDATES WILL BE CONSIDERED. Please send your resume to careers@westmount.com.