



Compliance Specialist Job Description

Employment Type: Full-Time (40 hours per week, 9am to 5pm Pacific Time)

Salary: \$70,000 - \$80,000 per year

Location: Remote

Benefits: Full

Company Description

Adasina Social Capital is an investment and financial activism firm that believes that community-sourced impact data should set the standards for how publicly traded companies participate in racial, gender, economic, and climate justice. Our diverse team of people from non-traditional backgrounds works closely with the communities we intend to impact – aligning investors with social justice movements. In addition to managing investment portfolios, Adasina mobilizes investors to drive long-term impact through industry campaigns and education.

Job Summary

The Compliance Specialist (CS) is a key staff member working primarily with the Chief Operations Officer (COO), who also serves as the Firm's Chief Compliance Officer. Reporting to the COO, this position works to assure the integrity of the Firm's Compliance Policies and Procedures. The role is responsible for implementing an effective compliance program that consists of coordinating and performing administrative and operational tasks to ensure that the Firm's corporate processes and transactions follow regulatory, legal, and internal guidelines.

Details of Role

COMPLIANCE STRATEGY (20%)

- **Strategy Creation**
 - Manage, evaluate, and refine a firm-wide Compliance Strategy designed to meet firm requirements and goals in collaboration with internal teams, firm leadership, and external consultants.

- **Strategy Implementation**
 - In collaboration with the CCO, build, manage, evaluate, and refine all firm-wide policies and procedures designed to achieve compliance with federal securities laws and regulations, and to detect and deter violations of internal policies and applicable regulatory requirements.
 - In collaboration with other internal stakeholders, build, manage, evaluate, and refine policies and procedures related to compliant sales and marketing of firm products and services.



- Cultivate a team-oriented compliance culture for efficiently and effectively managing compliance throughout the organization, including collaboration and partnership with all firm teams.

REGISTERED INVESTMENT ADVISOR & PRODUCT COMPLIANCE (30%)

Compliance Policies and Procedures & Code of Ethics

- Direct, prioritize, and supervise the development and contents of the firm's Compliance Manual & Code of Ethics.
 - Detect and resolve issues which may present a failure to comply with rules or regulations.
 - Maintain applicable policies and procedures, amend existing policies and procedures, and draft new ones as necessary.
 - Manage relationships with external consultants that work with compliance policies on behalf of Adasina, coordinate their work, and ensure the smooth integration of all external work into Adasina systems and processes.
 - Coordinate and provide staff onboarding training and continuing education on regulations and certification processes, including:
 - Trading activity and statement reviews,
 - Brokerage account disclosure and review processes,
 - Outside business activity, gift and other disclosure review processes,
 - Investment advisor disclosure requirements,
 - Quarterly certifications, and,
 - Implementation of the Firm's Code of Ethics policy.
 - Coordinate and present at annual compliance meetings.

Risk Assessment

- Research current laws, rules, and other regulatory requirements to assess firm activity for existing and emerging risks. Evaluate the materiality of the risks identified, and draft or update Compliance Manual, training materials, and internal policies and procedures to ensure alignment and coverage.
- Regularly assess firm procedures to identify possible weaknesses and determine best practices. Create and manage effective action plans in response to audit discoveries.
- Oversee company's liability and risk management insurance policies. Monitor and test business continuity and disaster recovery plan; ensure contingency plans are in place, and ready to be deployed.

Filing & Reporting

- Manage the compliance monitoring program and review activity to ensure it falls within established policies and procedures.
- Adhere to regulatory reporting guidelines and filing deadlines. Manage the preparation of annual compliance reports by preparing and filing required documents (i.e. ADV, Form CRS, advisor registrations) and submit all reports in a timely and accurate fashion.
- Conduct comprehensive annual compliance review and assess firm operations.

MARKETING & COMMUNICATIONS COMPLIANCE (30%)



- Work with ETF product compliance service providers to review and approve marketing materials, social media communications, and other forms of advertising on an ongoing basis to ensure they meet compliance requirements.
- Interpret policies, procedures, and compliance requirements and identify compliance impact on marketing materials, sales programs, product development.
- Review staff email communications; support staff in complying with communication policies and procedures.
- In collaboration with the Marketing & Sales Teams, review and approve marketing materials, social media communications, and other forms of advertising on an ongoing basis to ensure they meet compliance requirements.

CORPORATE COMPLIANCE (20%)

Corporate Books and Records

- Review operating agreements, vendor contracts, and other documents between partners, colleagues, and external organizations, as appropriate.
- Maintain an archive of corporate books and records as required by regulators.
- Maintain firm wide required insurance.
- Interface with regulators, including SEC, FINRA, or other agencies and legal counsel as appropriate.
- Advise management on the firm's compliance with laws and regulations.

Firm Policies

- Provide oversight and guidance on the Firm's privacy program and further develop the firm's information security policies.
- Provide support and assistance to the Firm's other teams related to the review and updating of written Human Resources and supervisory policies.

Cyber Security

- Support outsourced technology providers and staff by providing oversight and guidance for periodic cyber security assessments to ensure compliance with information security policies and established security controls.
- Monitor and provide guidance on emerging regulations in the digital space.

Requirements

All applicants must demonstrate ethical judgment, professional competence, and respect confidentiality. It is critical that the individual in this position possess honesty, integrity, and the highest ethical principles.

- 5+ years of relevant work experience in financial industry compliance operations.
- 4 year Bachelor's or advanced degree.
- Demonstrated ability for high-accuracy implementation and coordination of complex tasks.
- Stellar leadership, people management, and interpersonal communication skills.



- High-initiative and resourceful problem-solving skills; strong organizational skills and time management abilities; capacity to prioritize competing responsibilities.
- Ability to identify and lead systems and process improvements while remaining coachable and operating within established guidelines.
- Excellent written and verbal communication skills.
- Ability to work with a diverse range of staff, partners, and vendors.

Preferred Qualifications

- Series 7, Series 65, CFP designation or other credential a plus.
- Strong understanding and/or experience with social justice organizations and causes.
- Demonstrated interest in, and experience with, social justice activism and/or impact investing.
- High proficiency with Google Workspace (formerly Google Drive and G Suite).
- Experience with Monday.com or similar project management system.
- Familiarity with HubSpot or a comparable CRM.

How to Apply

To apply, please submit your resume and a short cover letter explaining your qualifications and why you are interested in the position to apply@adasina.com. Please ensure the subject line of your email reads “Application for CS_[Your Last Name], [Your First Name].” Applications will be accepted until the position is filled and will be reviewed on an ongoing basis..

Adasina is committed to creating and maintaining a diverse workplace that reflects our progressive values and the communities for which we seek justice. Women, BIPOC, and LGBTQ+ candidates are strongly encouraged to apply. Investment management and financial services are a highly regulated industry, therefore all applicants must respect confidentiality, adhere to the firm’s Privacy Policies and Code of Ethics. Pursuant to the California Fair Chance Ordinance, Adasina Social Capital will consider for employment qualified applicants with arrest and conviction records.