



Greyline is a fast-growing regulatory consulting firm, with offices across the United States and in London. Our clients are primarily registered investment advisers, including traditional advisers, mutual fund managers, private equity firms, hedge funds and venture capital firms. The firm's culture is collaborative, entrepreneurial, and innovative.

We are looking to hire a **Vice President** of compliance with experience in the fintech space and complying with SEC and/or FINRA regulations. This opportunity is perfect for someone who likes to work on a variety of projects for a diverse client base. Excellent organizational skills and the ability to multi-task are required.

Work Location: This position can report to Greyline's Dallas, San Francisco, New York City or Boston office.

Minimum Responsibilities:

- Provide oversight and assistance in the day-to-day support in the development, implementation and maintenance of compliance programs for firms with a fintech strategy, including but not limited to:
 - Development and implementation of compliance policies and procedures – taking a proactive approach to ensuring policies are implemented;
 - Conduct annual compliance reviews and internal control testing;
 - Prepare and submit annual and quarterly regulatory filings;
 - Oversee the monitoring of clients' employees' personal trading and electronic communications;
 - Assist clients in organization and maintenance required books and records;
 - Provide onsite training to clients regarding regulatory requirements and best practices;
 - Continuously monitor relevant regulatory changes and assist clients in developing internal controls, accordingly.
- Register clients as broker-dealers and/or investment advisers with the appropriate regulatory bodies;
- Assist in conducting mock regulatory exams;
- Assist in providing SEC and FINRA exam support;
- Proactively provide practical, business-friendly solutions for esoteric regulatory issues.

Education and Experience Requirements:

- Undergraduate degree required;
- 5+ years of compliance related experience with some experience at a fintech firm;
- Experience assisting with registering as an RIA or broker-dealer with the appropriate regulatory body, as well as implementation of ongoing compliance programs;
- Excellent written and verbal communication skills;
- Experience with compliance program development and maintenance;
- Independent self-starter, as well as collaborative problem-solver;
- Strong research skills;
- Ability to multi-task across a range of projects with constantly shifting priorities;
- Management experience preferred.

Additional Requirements:

The following functions are representative of those that must be met by a teammate to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform these essential functions.

Essential Job Functions and Physical Demands:

- While performing the duties of this job, the employee is regularly required to stand, sit, talk, hear and use hands and fingers to operate a computer and telephone keyboard.
- Close vision is required due to computer work.
- Light to moderate lifting (e.g. transporting laptops).
- Maintain regular and punctual attendance.
- Travel overnight, as required.
- Commuting to/from firm office(s) and client locations, as needed.
- Work cooperatively and collaboratively with others.
- Comply with all company policies and procedures.

Work Environment:

- Moderate noise (i.e. business office with light traffic, computers, phone and printers).
- Ability to work in a confined area.
- Ability to sit at a computer terminal for an extended period of time.
- Ability to work in varied work environments, including mobile (e.g. working from a laptop during travel or client visits instead of a formal work station set-up).
- Remote work possible with some travel to offices and clients.

Applicants should email their resume to hr@greyline.co.

EEOC: Greyline provides equal employment opportunity to all individuals regardless of their race, color, creed, religion, gender, age, sexual orientation, national origin, disability, veteran status, or any other characteristic protected by state, federal, or local law.