



Position: Compliance Associate
Reports to: Adrian Ketri, CCO
Date: 12/20/2022

MISSION

As an important member of Prio Wealth, the Compliance Associate supports the Compliance and the Operations Teams in maintaining our overall compliance program.

This position requires a pro-active approach and ability to independently fulfill the responsibilities of the position. The ideal candidate should exhibit high standards, excellent communication skills, good judgment, and ability to take initiative and prioritize daily tasks. The ability to effectively manage time and multi-task with attention to detail is critical to this role.

ESSENTIAL RESPONSIBILITIES

- Aid in the implementation of programs, policies, and practices to ensure that all business units follow SEC regulatory requirements.
- Test/Audit a variety of internal procedures on a monthly, quarterly, semi-annually, and annual basis.
- Create new tests, or portions of tests, as processes or procedures change and evolve, or as issues arise.
- Recognize potential policy violations and recommend new controls, while working with other departments.
- Communicate effectively with others' concerns that originated from testing results.
- Follow-up on issues/concerns with teams in the time frame presented in the yearly compliance schedule.
- Aid with research/investigation of Compliance Exceptions, Laws and Rules and identifying how topics can be applied to the firm.
- Assist with the collection of required documents for the annual review process.
- Assist with Vendor due diligence.
- Manage compliance audit schedule via ACA website application.
- Submit the 13F and 13H quarterly to FINRA.
- Assist the COO with the annual ADV Part 1, 2 and 3.
- Aid with annual compliance and cybersecurity training programs.
- Participate in ongoing compliance and/or cybersecurity-related webinars, webcasts, seminars to stay current on the latest compliance topics.
- Contribute to firm-wide projects and process improvements.
- Assist with AP processing (3 hrs./week).

EXPERIENCE AND EDUCATION

- Minimum Bachelor's Degree
- 2-4 years of compliance experience within a financial firm.
- Knowledge and experience in the financial sector.

SKILLS AND KNOWLEDGE

- Demonstrates analytical ability, good judgement, problem solving, responsibility, personal integrity, and can manage confidential information daily.
- A self-starter with a strong sense of ownership, positive professional attitude, and demeanor.
- Proficient in Microsoft Office (Word, PowerPoint, and Outlook).
- Advanced Microsoft Excel knowledge including VLOOKUP, Pivot Tables, SUMIF, COUNTIF preferred.
- Excellent oral and written communication skills.
- Professional and articulate with strong attention to detail.
- Ability to work efficiently, effectively, and independently to see projects through to conclusion.
- Excellent time management, strong organizational skills, ability to prioritize multiple tasks and anticipate potential problems.

Roles and responsibilities can often be expanded to accommodate changing business conditions and goals, as well as to tap into the skills and talents of the individuals in the company. Accordingly, associates may be asked to perform duties that are outside the specific functions that are listed.

Prio Wealth is an equal opportunity employer, and all qualified applicants will receive consideration for employment without regard to race, color, religion, gender, national origin, age, genetic information, creed, marital status, sexual orientation, gender identity, disability status, protected veteran status, or any other protected status under federal, state, or local law.

ABOUT PRIO WEALTH

When we founded Prio Wealth (formerly Seaward Management) 35 years ago, we looked to give our clients advice that worked for them and their goals. We built our registered investment advisory firm to help them make the most from their money. Fast-forward three decades and we are still focused on individualized wealth management but with a wider view. We have learned from our clients that making financial decisions is even more about life – and less about money – than we thought.

We discovered that life's priorities drive money decisions not the other way around and that people's values and their views on money are what is central to managing wealth.

The problem is most advisors do not have a framework to help clients clarify their priorities and make good choices and trade-offs in their financial lives.

With this insight, we made the decision to evolve our wealth management approach and to add new tools to bring life and money together for our clients. Our new name, "Prio," reflects the way we help clients understand how they feel about money, determine what really matters to them, and then use their priorities to guide every decision we make together about their finances.

We continue to be a leading investment firm with deep experience in wealth management and planning, but we are now even stronger champions for our clients. We understand people want to live a rich and meaningful life, and since getting there can be complicated, our approach offers the clarity, confidence, and control to make managing life and money so much simpler.