



Job Title: Compliance Specialist
Location: Berwyn, PA

Position Overview:

Chartwell Investment Partners, an SEC registered investment advisor and investment firm based in Berwyn, PA is seeking a well-qualified candidate for a Compliance Specialist position. In this role, you will collaborate with the Chief Compliance Officer (“CCO”) and additional members on the team in executing day-to-day compliance functions relating to the investment advisory businesses of Chartwell Investment Partners.

Primary Job Responsibilities:

- Assist in the regulatory oversight, risk management, and policy implementation of all investment advisory policies and procedures.
- Assist with maintenance and filing of various SEC filings including, Form ADV Parts 1 and 2 including advisory brochure; Forms 13F, D & G using EDGAR and FINRA Forms U4 & U5.
- Assist with completing client/consultant compliance related due diligence questionnaires.
- Support adherence to Code of Ethics and overall compliance program. Review and report on daily, monthly, and quarterly controls and risks of those procedures. Day-to-day maintenance of the firm’s Code of Ethics and its implementation, including identifying Access Persons, quarterly and annual Access Person certifications, restricted lists and preclearance procedures; updating, distributing, and educating employees; trade monitoring and monitor of outside brokerage accounts.
- Conduct investment advisory advertising and marketing material review and approval on a daily and quarterly basis. Ensure adequate and timely support of quarterly performance advertising and reporting.
- Stay abreast of changing regulations that impact our business to continuously evolve best-in-class review processes, policies and procedures. Includes travel to attend compliance educational conferences.
- Identify areas for improvement and work with the CCO to implement solutions.
- Work with internal departments and institutional partners on daily compliance matters.
- Assist with identifying, prioritizing, and elevating risks related to separately managed accounts, third party relationships, or general conflicts of interest.
- Assist with management of Wholesaler activity, compliance, and recordkeeping.
- Collaborate with CCO on various compliance projects.
- Provide back-up support to CCO and other Compliance team members as needed.

Education and Experience Requirements:

- Bachelor’s Degree in a related field or the equivalent combination of education and/or experience.
- Minimum of 3 years of investment advisory experience with direct or indirect exposure to compliance and/or internal audit.

Essential Skills and Abilities:

- Understanding of fiduciary responsibilities and appropriate disclosure of conflicts of interest.
- Working knowledge of the Advisers Act, Investment Company Act, SEC and FINRA rules and regulations preferred.
- Knowledge of securities products, investment advisory services and arrangements and related regulatory requirements is a plus.
- Proficiency in Microsoft Word, Excel, PowerPoint, Adobe Acrobat, Outlook and web-based applications.
- Working knowledge of Factset, Bloomberg, Advent Axy, APX and Moxy is a plus.
- Attention to detail, with the ability to analyze data, identify trends and escalate matters appropriately.
- Critical thinking skills and intellectual curiosity, with strong independent follow-up.
- Ability to recognize sensitive material and maintain the utmost discretion and diplomacy with a high degree of confidentiality.
- Excellent interpersonal, written and oral communication skills.
- Ability to work independently and collaboratively with minimal supervision.



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- Organizational and time management skills; ability to multitask.
- Ability to partner effectively with the CCO, anticipate needs, and seek clarification and/or assistance when needed.
- Create good working environment in the team by working towards shared goals, contributing ideas, and accepting change.
- Keep everyone involved informed about progress and issues.
- Experience with personal trading programs helpful.

Chartwell Investment Partners provides equal employment opportunity and advance in employment to qualified persons regardless of race, color, sex, religion, national origin, age, sexual orientation, gender identity, disability, veteran status, or other categories protected by law.

Chartwell Investment Partners is an Equal Opportunity Employer.