

## **Why RMB Capital?**

RMB Capital Management, LLC is a rapidly growing Chicago-based investment advisory firm with over \$10 billion in assets under advisement. We are seeking a Chief Compliance Officer to lead our Compliance team in Chicago, IL.

We are passionate about enriching the lives of our teammates, our clients, our partners, and the communities in which we live and work. Our values are:

- Do the Right Thing
- Invest in Relationships
- Never Settle
- Leave No Stone Unturned
- Get It Done

We are actively committed to the personal, professional, and financial growth of each other. We believe there is no greater accomplishment than knowing that at the end of the day, we are making a difference.

We are counted among Barron's Top 100 Independent Registered Investment Advisors (RIAs). Our businesses include wealth management, family office services, asset management, and retirement plan consulting. Our headquarters are in Chicago, Illinois. We have offices in Chicago, Illinois, Denver, Colorado, Lake Forest, Illinois, Milwaukee, Wisconsin, Minneapolis, Minnesota, St. Joseph, Michigan, and Washington D.C.

## **About The Role**

We are seeking a Chief Compliance Officer to oversee our registered investment advisor compliance program. It is an integral role in the firm and is responsible for overseeing and managing RMB Capital's compliance-related matters. This includes managing the Compliance Department, as well as being responsible for developing, implementing, testing, and enforcing RMB Capital's compliance manual, code of ethics and departmental policies and procedures.

Our team is comprised of passionate, forward-thinking professionals eager to take on the challenge of meeting the firm's complex compliance goals. We are looking for a candidate that is inspired by our values and motivated to help people achieve their investment, financial, and life goals.

## **Key Responsibilities**

- Develop, maintain and execute an effective and comprehensive compliance program designed to ensure the firm's supervision and controls meet regulatory requirements and industry best practices

- Maintain a thorough understanding of securities laws and regulations that pertain to RMB's products and services
- Deploy new and existing technologies to improve efficiencies in the compliance program across the organization
- Identify, analyze, and mitigate conflicts of interest.
- Provide compliance review of advertising, sales literature, and marketing materials based on SEC rules and regulations.
- Function as liaison with regulators, outside counsel and compliance consultants.
- Prepare and File Regulatory Filings.
- Conduct employee compliance training.
- Prepare annual written compliance program review.
- Confer and advise senior management on significant compliance matters.

### **Supervisory**

- Directly supervises employees within the Compliance department.
- Fulfills supervisory responsibilities in accordance with the organization's policies and applicable laws.
- Responsibilities include interviewing, hiring, and training employees; planning, assigning, and directing work; appraising performance; rewarding and disciplining employees; addressing complaints and resolving problems.

### **Qualifications**

- Bachelor's Degree required; JD and Series 7, 65, 24 a plus
- 10-15 years of wealth management and asset management experience in Compliance role with a SEC registered investment advisor
- Ability to identify and solve complex compliance issues in a team environment
- Strong interpersonal and communication skills required.
- Ability to work independently and in a collaborative team environment to meet deadlines and proactively address opportunities and needs.
- Extremely detail oriented.
- Computer skills required: Microsoft Office Suite, Compliance systems
- Other skills:
  - Strong communication skills - verbal and written.
  - Strong work ethic, organization, and self-management skills.

### **Benefits**

We offer medical, dental, and vision coverage, competitive salaries, 401(k) match, profit sharing plans, a wellness program, and flexibility with our hybrid work model.

### **What do you think?**

If you have made it this far, we are excited to meet you too. We are hopeful that this role will give you the experience to make a difference in our clients' lives, passion to serve our communities, and fulfillment to make you never want to leave our team.

*RMB Capital is an independent investment advisory firm. To learn more about RMB, visit [www.rmbcap.com](http://www.rmbcap.com).*

*RMB Capital Management, LLC provides equal employment opportunities to all employees and applicants for employment without regard to race, color, religion, sex, national origin, age, disability, or genetics. In addition to federal law requirements, RMB Capital Management, LLC complies with applicable state and local laws governing nondiscrimination in employment in every location in which the company has facilities. This policy applies to all terms and conditions of employment, including recruiting, hiring, placement, promotion, termination, layoff, transfer, leaves of absence, compensation, and training.*

Apply Here: <https://www.click2apply.net/qlwVEIUJPWNKeFJbefW11K>

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