

April 11, 2019

Compliance Analyst

Department: **Legal/Compliance - Compliance**

Reports to: **Executive Director/Principal**

Location: **Chicago, IL**

Contact: **Human Resources (careers@gcmlp.com)**

SUMMARY

As a member of Compliance, the individual in this position will be responsible for administering and supporting the compliance functions of GCM Grosvenor.

RESPONSIBILITIES

The individual will be involved in the following critical activities:

- Assist in managing the development and implementation of appropriate training and monitoring systems to ensure that Firm is in full compliance with all laws and regulations.
- 206(4)-7, FINRA 3120, and NFA Rule 2-9, and generally assisting the Senior Compliance officers in the annual review.
- Assist the Firm and Senior Compliance Officers during any regulatory or mock exam.
- Maintain Code of Ethics program on Compliance system, including reviewing employee trading statements/confirms, sending out FINRA 3210 request letters, and assisting in required pre-clearance requests.
- Assist in the preparation of Federal, State, or International regulatory filings (Form ADV, Form PF, CPO PQR/CTA, AIFMD Annex IV, Forms U4, U5, BR, D, DA, and BD).
- Help draft policies and procedures.
- Assist in reviewing investor subscription agreements to comply with certain requirements, including AML and KYC.
- Help develop and conduct employee trainings.
- Assist in collection of suitability questionnaires and maintain updates to Master Placement Agent Agreement.
- Perform electronic communications review.
- Assist in analyzing new and pending laws and regulations to properly and expeditiously identify those which may impact the Firm's business and collaborating with the Senior Compliance Officers to revise the Firm's policies and procedures as necessary.
- Help analyze recent regulatory cases which could have compliance consequences.
- Perform special projects as assigned.

EDUCATION, SKILLS AND EXPERIENCE REQUIREMENTS

The ideal experience and critical competencies for the role include the following:

- Bachelor's degree or equivalent; JD or MBA preferred.
- 1-3 years of Legal or Compliance experience in the financial services industry, focus on private equity funds or hedge funds preferred.
- Strong writing skills with the ability to summarize and digest content quickly and clearly.
- Detail oriented with strong analytical and problem solving skills, including project management.
- Strong interpersonal skills, with a strong presence and team building skills.

(GCM Grosvenor reserves the right to add to, delete, change or modify the essential duties and requirements at any time. Other functions may be assigned to the position at GCM Grosvenor's discretion.)

If interested and qualified for this position, please notify Human Resources.

EQUAL OPPORTUNITY EMPLOYER M/F/D/V

- Interest in the developing regulatory environment for alternative asset management firms and the ability to understand how these trends may affect the Firm.
- Self-confident and assertive, with a bias for action, requiring a minimum amount of direction, yet also good instincts and judgment regarding when to escalate matters and involve others.
- Comfortable with speaking to all levels of employees, from CEO to most junior staffer.
- High energy level with strong work ethic and flexibility to work long hours at times to accommodate special client needs, including the ability to quickly respond to emails during non-working hours and weekends.

In terms of cultural fit, the successful candidate will be self-motivated and energized by working amongst a group of thoughtful, smart and successful colleagues. He or she will enjoy being part of an organization focused on excellence and will be a naturally collaborative person who enjoys interacting with individuals at all levels. Additionally, he or she will be a strong team player with a proactive approach and the ability to exercise discretion and judgment.

HOW TO APPLY

Interested candidates should submit a letter of interest along with a resume to careers@gcmlp.com. Please reference **“Compliance Analyst, #101500”** in the subject line of the email.

ABOUT THE FIRM

GCM Grosvenor is a global alternative asset management firm with approximately \$50 billion AUM in hedge fund strategies, private equity, infrastructure, real estate and multi-asset class solutions. It is one of the largest, most diversified independent alternative asset management firms worldwide. The firm has core expertise in product and custom investment solutions. Its product solutions provide turn-key access to both diversified and specialized alternative investment portfolios. Its customized investment solutions give clients an active role in the development of their alternatives programs.

GCM Grosvenor has offered alternative investment solutions since 1971. The firm is headquartered in Chicago, with offices in New York, Los Angeles, London, Tokyo, Hong Kong and Seoul. GCM Grosvenor serves a global client base of institutional and high net worth investors.

For more information, visit www.gcmgrosvenor.com.

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