

Job Opportunity: Compliance Manager

Employer: Riverbridge Partners, LLC

Location: Minneapolis, MN

Job Type: Full-Time

Our Company & Culture

Riverbridge is an investment firm located in downtown Minneapolis. We believe that investing is about more than money. It is about adding enduring value to lives, communities, and the world we are building together—for generations to come. We are a team of people who seek to learn and grow every day, not for our own gain, but for the good of those we serve. We seek to have a service mindset guide all that we do, looking beyond our own self-interest. We also believe that adding value is a continual pursuit, so we are motivated to actively discern, seek feedback, and test our thinking in ways that push past prescribed pathways. We bring passion to our work and to how we build relationships.

Position Description

The Compliance Manager has responsibility in the firm's compliance efforts to implement, enhance and maintain an effective compliance program. The Compliance Manager's responsibilities include monitoring, reporting, and advising the investment advisory activities of Riverbridge and its employees and enforcing appropriate policies and procedures. The Compliance Manager will aid the Chief Compliance Officer (CCO) to ensure the firm's policies are adequate and the firm's procedures are followed to mitigate risk for clients and the firm, and to avoid violations of securities laws.

In this role, you will be accountable for:

- Ensuring compliance tasks are completed and audited
- Aiding the CCO in maintaining the compliance manual, code of ethics, and policies covering the compliance framework
- Conducting annual reviews and testing of compliance policies and procedures as required under the Investment Advisers Act
- Ensuring regulatory filings are completed, submitted, and distributed, as required
- Monitoring and document employee personal trading and questionnaires; escalate issues
- Responding to client/prospect/board questionnaires when applicable
- Reviewing marketing materials and website
- Conducting compliance training of staff
- Reporting and escalating issues to Management
- Providing compliance assistance to Clients, Management, and Staff as requested
- Staying abreast of regulatory changes, best practices, and industry trends

You will be a good fit if you are:

- Confident, self-aware, and client-service oriented with a can-do attitude.
- Organized, systematic, detail-oriented, and able to complete multiple tasks in a fast-paced environment.
- A self-starter who can work independently while maintaining high levels of communication.
- Driven by high standards for your work, valuing details, results, and excellence.
- Adaptable and invigorated by the possibility of change and evolution in a growing company.

Qualified candidates will possess a Bachelor's Degree or equivalent experience, and knowledge of the Investment Advisers act. To apply, please submit a resume and cover letter to careers@riverbridge.com.

Riverbridge is an Equal Opportunity Employer