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# Example of Investment Advisory Job Description

Our company is looking to fill the role of investment advisory. Please review the list of responsibilities and qualifications. While this is our ideal list, we will consider candidates that do not necessarily have all of the qualifications, but have sufficient experience and talent.

## Responsibilities for investment advisory

* Prepare regular reports and ad-hoc presentation for the review of management and regulators
* Provide direction and guidance and serve as subject matter expert to internal/external business associates on investment advisory compliance issues, including fiduciary responsibility, advisory regulation, strategic relationships, and permissible activities under firm policy and the Investment Advisers Act of 1940
* Serve as liaison to internal departments in terms of appropriate structure for strategic relationships
* Utilize knowledge of investment advisory regulation in the oversight of independent RIA firms and their required adherence to LFS Independent RIA Policy
* Develop communications regarding current issues in advisory compliance, and new or updated compliance policies or SEC regulations for Compliance Alerts to home office and field associates
* Manage complex compliance projects, as requested by Compliance management
* Work with key compliance and business partners to develop, maintain and conduct initial and ongoing compliance training and education for LFN advisors and home office personnel
* Manage creation, updating, delivery and maintenance of ADV 2B disclosure brochures
* Manage adherence to the Code of Ethics reporting requirements under the Investment Advisers Act of 1940 by managing system and staff for reporting of personal securities accounts and activity, political contributions, and annual attestation to compliance procedures
* Manage Compliance Specialist’s responsibilities regarding creation and support of ADV 2B disclosure brochures, and system maintenance and field support of Code of Ethics reporting and compliance certifications

## Qualifications for investment advisory

* Demonstrated success in conducting investment due diligence, making investment recommendations, and portfolio construction
* Ability to build relationships of trust with senior management in the business and from Compliance and other oversight and control teams
* In-depth knowledge of IFRS (IAS 39) & US GAAP (FAS 133) and SEC regulations on derivatives and hedge accounting is required
* Previous relevant experience in an accounting policy department of a financial institution
* Strong project management skills including the ability to provide leadership, project accountability and coaching
* Ability to meet objectives with little direction by applying planning and analytical skills