



Title: Investment Compliance Officer

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Work Location: Tigard, Oregon,

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### **Description**

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Oregon State Treasury (OST) is recruiting for an Investment Compliance Officer position that will be located in our Tigard, Oregon office. This position will report to the Chief Compliance Officer.

This recruitment will be used to fill one current vacancy. This is a management service position.

OST is led by the State Treasurer, a constitutional officer and statewide elected official. The Treasurer serves as the chief financial officer for the state and is responsible for the prudent financial management of state money. The Treasurer serves a four-year term, and, if reelected, may hold the position for two terms. The current State Treasurer is Tobias Read, who was sworn into office in January 2017.

OST has developed into a highly sophisticated organization with a wide range of financial responsibilities, including managing the state's pension fund, issuing all state debt, and serving as the central bank for state agencies. OST manages the daily investment of nearly \$90 billion in assets, held in a diversified investment portfolio of domestic and international equities, fixed income securities, alternative and opportunistic investments, real estate and cash. The 120+ member OST staff takes great pride in their statewide and national reputation for progressive approaches to service delivery.

The Oregon State Treasury (OST) operates a compliance program within OST's Legal and

Compliance Division that monitors and evaluates portfolios, asset classes, and funds to determine

compliance with OST policies and contractual obligations; ensures regulatory compliance of

external investment managers; monitors and evaluates employee trading and compliance with

OST policies and procedures; identifies instances of non-compliance; provides information to OST

management and the Oregon Investment Council (OIC) as appropriate; and verifies resolution by

the appropriate individual or manager within the appropriate time frame. OST's compliance

program is independent of the Investment Division. Governance oversight is provided by the

Compliance Executive Committee (CEC).

This position is responsible for testing and monitoring the effectiveness of internal controls

designed to ensure the investment, regulatory and operational processes are compliant with the

OST policies and applicable regulatory requirements. The Investment Compliance Officer works

with the Compliance team to monitor, evaluate, and report on investment compliance for

managed portfolios across all asset classes. Asset classes include equities and fixed income, and

“alternative” asset classes including real estate, private equity, alternatives (real assets) and

opportunity funds. This position is also responsible for the OST regulatory reporting obligations to

federal and state regulatory authorities, as applicable. The position requires the Investment

Compliance Officer to collaborate, effectively communicate and work closely with both the

Compliance team and Investment Division to accomplish their assigned responsibilities, projects

and issues as they arise.

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## Required Skills

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You must have the following to qualify:

- A bachelor's degree in Business, Public Administration, Behavioral Sciences, Finance, Political Science or any degree demonstrating the capacity for the knowledge and skills **AND** five years professional level evaluative, analytical and planning work within the investment compliance industry working for a broker-dealer, investment advisor, investment manager, investment fund or similar entity;

**OR**

- Any combination of experience and education equivalent to eight years of professional level evaluative, analytical and planning work within the investment compliance industry working for a broker-dealer, investment advisor, investment manager, investment fund or similar entity.

*While not required, experience in portfolio management compliance and a Certified Securities Compliance Professional (CSCP), Certified Compliance & Ethics Professional (CCEP), Chartered Financial Analyst (CFA) Charter or similar designation, or desire to work towards such designation(s), is preferred.*

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## Benefits

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Salary Range of \$69,240 - \$101,952 Annually Depending on Experience.

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OST offers an attractive benefit package which provides contributions toward Public Employee Benefit Board (PEBB) sponsored individual and family health and dental insurance and term life insurance. Other benefits include participation in the Oregon Public Service Retirement Plan (OPSRP), paid holidays and paid vacation, and both sick and personal leave time. Optional benefits include long- and short-term disability and participation in the Oregon Savings Growth Plan (a deferred compensation plan).

**Kind:** Full Time

**Level:** Professional

**Type:** 2

**Apply**

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For more information visit [www.ost.state.or.us](http://www.ost.state.or.us).

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