



CFA Society of Orange County
Forum • Knowledge • Professionalism



Vice President, Senior Compliance Officer

POSITION SUMMARY The Senior Compliance Officer is responsible for working with the Regulatory Compliance team to facilitate PIMCO's Compliance Program. The candidate will be primarily responsible for managing and supporting compliance requirements for PIMCO Advisory Business Unit. The role would also require working on compliance initiatives as well as lead efforts to streamline the business for efficiency, enhanced control environment, and mitigate potential risks. The candidate will work closely with teams and individuals across all functional areas within the firm as well as with non-US offices. This position reports directly to the Senior Vice President of Compliance Risk and Controls and is based in Newport Beach, CA.

ABOUT PIMCO ADVISORY

PIMCO Advisory is a market leader in advisory services with a dedicated global team focused on translating the depth and breadth of PIMCO's investment and risk management expertise into value-added advice and solutions. Major institutions globally have relied on our counsel and benefited from our commitment to service - which is always customized to our client. We have been the trusted expert on complex portfolio risks and valuations to some of the largest public and private institutions in the world, leveraging our sophisticated technology platform which provides the ability to review portfolios of virtually any size, composition, or complexity. We also offer a deep knowledge base for companies facing complex strategic financial questions, including balance sheet allocations, regulatory compliance, and risk hedging. Example client types and services include:

- Entities with exposure to illiquid, distressed and/or complex assets: PIMCO Advisory collaborates with management to understand associated objectives and provide point-in-time and/or ongoing analysis, credit evaluation, reporting of timing and severity of potential losses as well as offering solutions for liquidation or restructuring
- Financial institutions: In addition to providing independent risk analysis and valuation services, PIMCO Advisory partners with senior decision makers and internal staff to address balance sheet efficiency, satisfy regulatory requirements, hedge complex risks and/or evaluate the holdings of acquisition targets
- Market and industry fiduciaries: PIMCO Advisory assists government agencies and regulators with risk evaluation, credit analysis and liquidity assessment across holdings of regulated entities

INTERNAL RELATIONSHIPS The Senior Compliance Officer must build solid internal relationships with members of the Legal & Compliance Team and strong partnerships with Account Managers, Portfolio Managers, and Business Management to manage compliance issues within PIMCO Advisory and the firm. The role will frequently interact with members of Senior Management to provide perspective, insights and feedback on Compliance issues. Key to the success of this role is to be a thought leader in the compliance area and at the same time is able to execute projects/initiatives in a focused and highly tactical manner.

EXTERNAL RELATIONSHIPS The candidate will also assist in leading regulatory, external and internal audits including due diligence visits as well as prepare materials in response to client requests. The Senior Compliance Officer will work with clients and service providers to refine and explain PIMCO policies/procedures as well as review client deliverables for appropriateness.

EDUCATION AND EXPERIENCE Education An undergraduate degree in Accounting, Mathematics, Finance, Economics or other related field is required. Advanced degree is preferred. Experience

- Eight to thirteen years of experience with a large and diverse investment management firm and/or Big 4 experience.
- Series of progressive roles in operations, compliance, audit/examination, project management and/or related functions with a proven track record of success.
- Led major initiatives and projects across functional areas globally.
- Working knowledge of regulatory and accounting requirements applicable to investment management firms including control/risk frameworks and SAS 70/ SSAE 16 experience.
- Experience with compliance programs

under Rule 206(4)-7 of the Investment Advisers Act and 38a-1 of the Investment Company Act preferred.

COMPETENCIES AND PERSONAL CHARACTERISTICS The Senior Compliance Officer needs to:

- Be able to develop teamwork and optimize the use of resources to achieve team or organizational objectives. Lead by persuasion and example.
- Be effective in a variety of formal and informal presentation settings: one-on-one, small and large groups, with peers, direct reports, and bosses; is effective both inside and outside the organization; commands attention and can manage group process during the presentation; can change tactics midstream when something isn't working
- Display effectiveness in identifying business risks; seeks relevant data, recognizing important information, and analyzing the impact and possible consequences.
- Plan, track, manage, and report the implementation of programs and projects, including associated resources, using established project management tools, techniques and/or software.
- Know the details of the business and understands all factors that impact the business; has the functional and technical knowledge and skills to do the job at a high level of accomplishment.
- Be able to prioritize multiple tasks and demonstrate timely follow-up.

PIMCO is an equal opportunity employer.

Apply: PIMCO website