



Seeking Experienced Compliance Professional

Compliance Consultant

Vista360, LLC is an investment management consulting firm founded in 2002 and located in the metro Milwaukee area. We are known for delivering expert advice to clients in a practical, customized fashion. As importantly, we invest heavily in our team – providing very thorough and ongoing training and education including many opportunities for professional and personal growth such as, workshops and “fun days”. We value the strengths and contributions each team member brings and support continual growth. We believe we are always learning.

Our clients consist of investment advisers (including institutional and wealth management firms), private funds and mutual funds located across the country, with a concentration of clients in the Midwest. We assist clients with navigating complex federal securities laws and provide advice to our clients on incorporating industry-standard best practices stemming from the rules and regulations into their business practices and compliance programs. We place a high value on developing trusting relationships with our clients and team members and we use a strengths-based approach when allocating work amongst team members. We believe in giving back to our community and helping to make a real difference in the lives of others. Our team launched and provides ongoing support to Bloom360 Learning Community, a private, nonprofit school for children ages 5 to 21 who require a supportive environment in which to learn and thrive.

This position works with our consulting team to execute client projects and provide client service. Responsibilities include:

- Working under the direction of our experienced consulting team, assisting team members in servicing clients, including taking ownership and responsibility for assigned client responsibilities.
- Specifically, assist in all aspects of client projects including:
 - Determining gaps in our clients’ compliance programs based on in-depth discussions with our clients regarding business practices;
 - Helping clients address new or changing regulatory requirements or industry best practices;
 - Drafting customized reports, policies, risk assessments, Form ADV disclosures, etc...
 - Performing testing and assisting with Code of Ethics administration.
- Developing an understanding of Vista360’s consulting approach as well as the rules, regulations and industry best practices relevant to Vista360’s clients. We have a thorough training process that includes specific instruction, hands on opportunities and a work review process.
- Supporting Bloom360 Learning Community’s mission through participation in events, contributing special talents and developing genuine, positive relationships with Bloom360 Learners and staff.
- Actively participating with our team through good communication, new idea generation, improvements to current processes and a positive attitude.



Requirements include:

- 3+ years of SEC compliance and/or operations experience with an investment adviser and/or mutual fund company.
- A desire to be part of a dynamic and friendly team where professional and personal development is supported and encouraged.
- Strong research, writing and communication skills.
- Comfortable with use of technology.
- Experience with compliance and operations software/systems (e.g., Schwab Compliance Technologies, Advent, Charles River, IARD) a plus.
- Ability to travel to conferences and client locations always with advanced, reasonable notice. Travel is expected to be minimal (10-15% of time).

Compensation and Benefits:

- Salary, bonus potential, plus standard benefits package including health insurance and 401(k).
- Opportunities for professional growth and mentoring by a seasoned team of professionals.
- Casual work environment with a strong focus on work-life balance.

Interested, qualified candidates should submit a resume and cover letter to:

Laura Rauman, Managing Partner

info@vista360llc.com

www.VISTA360LLC.com

Recruiters need not apply.

Vista360 is an Equal Opportunity Employer.