



September 2026

Investment Management SEC Compliance Professional

Vista360, LLC is an employee-owned investment management consulting firm founded in 2002 and located in the metro Milwaukee area. We provide expert, practical, and customized compliance and regulatory advice to investment advisers, registered funds, and private funds throughout Wisconsin and across the country.

We believe great work starts with a great team. At Vista360, you'll work alongside experienced professionals who care about their clients, take pride in what they do, and genuinely enjoy working together. We invest in our people through thorough training, ongoing education, mentorship, and opportunities for both professional and personal growth. From workshops and professional development to team “fun days,” we believe in creating an environment where people can continue learning, contribute their unique strengths, and build a career they find rewarding.

Our work is intellectually engaging and varied. We help clients navigate complex regulatory requirements, develop and strengthen compliance programs, and incorporate industry best practices into their businesses. We pride ourselves on building trusted, long-term relationships with our clients and delivering advice that is both technically sound and practical.

This is an exciting opportunity for a compliance professional with 3+ years of experience who is ready to take the next step in their career. You'll work closely with our Partners and a talented, supportive team, gaining exposure to a variety of clients and challenging projects while continuing to develop your consulting expertise. We value thoughtful collaboration, encourage questions and new ideas, and provide the support and guidance you need to grow into greater responsibility over time.

We also believe in giving back to our community. Vista360 donates a portion of its profits and volunteers time to support Bloom360 Learning Community, a private, nonprofit school and young adult program for neurodivergent individuals who require a supportive environment in which to learn and thrive. We find purpose not only in the work we do for our clients, but also in the difference we can make in the lives of others.

We are seeking a compliance professional with 3+ years of investment adviser, private fund, and/or registered fund compliance or operations experience who is eager to expand their knowledge, strengthen their skills, and take on increasing responsibility.

This role offers the opportunity to work closely with Vista360's Partners and experienced team members on a diverse range of client engagements. You'll play a meaningful role in preparing and delivering customized compliance solutions while developing the knowledge, judgment, and confidence to grow as a consultant.



You won't be expected to figure it all out on your own. We believe in learning through thorough training, hands-on experience, collaboration, thoughtful feedback, and the mentorship of colleagues who are invested in your success.

Key Responsibilities include:

- Collaborate with the Partners in helping clients address new and evolving regulatory requirements and industry best practices.
- Assist the Partners in developing, enhancing, and maintaining client compliance programs, including policies, procedures, compliance tools, risk assessments, Form ADV disclosures, fund disclosures, and related materials.
- Support clients' annual review processes by assisting with compliance program updates, preparation of annual review reports, and related deliverables.
- Assist the Partners in drafting customized client deliverables, including reports, policies, risk assessments, Form ADV disclosures, and other compliance documentation.
- Prepare and execute compliance testing and assist with the administration of client Codes of Ethics, with guidance and support from Partners.
- Review investment adviser and fund marketing materials for compliance with applicable regulatory requirements and industry best practices.
- Perform client email surveillance and assist the Partners in identifying and addressing potential compliance concerns.

In addition to supporting client engagements, this role will be expected to:

- Develop an understanding of Vista360's consulting approach and the regulatory framework and industry best practices relevant to our clients. This includes the Investment Advisers Act of 1940, Investment Company Act of 1940 and other federal securities laws impacting SEC-registered advisers, registered funds and private funds. We provide a thorough training and development process that includes structured instruction, hands-on learning opportunities and feedback from experienced team members.
- Support Bloom360 Learning Community's mission by participating in events, sharing special talents and skills, and building genuine, positive relationships with Bloom360 learners and staff.
- Contribute actively to the Vista360 team through clear and consistent communication, sharing ideas, helping to improve existing processes and approaching your work and relationships with a positive, collaborative attitude.

Requirements include:

- 3+ years of experience in SEC compliance and/or operations experience with an investment adviser, private funds and/or registered fund company.
- Bachelor's degree.
- A demonstrated interest in expanding your compliance expertise and developing a career in investment management consulting.
- A desire to work collaboratively as part of a supportive, close-knit team where professional and personal development are encouraged.
- Strong research, writing and communication skills.
- Strong analytical and problem-solving skills.



- Comfortable learning and using technology and compliance systems to support efficient, high-quality client service.
- Experience reviewing adviser and fund marketing materials for compliance with federal securities laws.
- Experience administering and monitoring an investment adviser/registered fund Code of Ethics, including personal trading, attestations, gifts and entertainment, political contributions and outside business activities.
- Experience with compliance and operations software/systems (e.g., MyComplianceOffice, StarCompliance, Global Relay, 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 (5-10% of time).

Compensation, Benefits and What We Offer:

- Competitive salary and bonus potential, plus standard benefits package including health insurance and 401(k).
- Meaningful opportunities for professional growth, ongoing education and mentorship from seasoned compliance professionals.
- A collaborative, supportive team environment where questions are encouraged, ideas are valued, and everyone's contributions matter.
- A casual work environment with a strong commitment to work-life balance. Work-life balance means very limited weekend or evening work, flexibility to participate in family activities that occur during normal work hours and generous PTO.
- Opportunities to participate in team workshops, professional development activities, and “fun days.”
- Flexible work arrangements, including a hybrid in-office/work-from-home arrangement. Fully remote work may be possible based on individual circumstances.
- The opportunity to contribute to our community through involvement with Bloom360 Learning Community and other community initiatives.
- Minimal travel, generally expected to be approximately 5–10% of the time, with reasonable advance notice.

Why Vista360?

At Vista360, you'll find more than a job in compliance. You'll find an opportunity to build a rewarding career alongside a team of experienced professionals who care about doing excellent work and supporting one another.

We work with interesting clients, tackle complex and evolving regulatory challenges, and take pride in delivering thoughtful, practical solutions. We also believe that a fulfilling career should leave room for life outside of work.

If you're looking for a place where you can use the experience you've gained, continue learning, take on new challenges, and be part of a team that values both its clients and its people, we'd love to hear from you.



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.