

Alternatives Legal & Compliance Officer

Ancora is seeking a highly accountable and diligent legal and compliance professional to support the firm's private fund business, Ancora Alternatives. The Alternatives group manages over \$1B in assets via multiple onshore and offshore vehicles and separately managed accounts. This individual will work closely alongside the Alternatives group's Investment and Operations teams, the firm's internal Compliance and Risk teams, as well as external counsel to provide legal, regulatory and compliance guidance across all Alternatives products. Only legal professionals with a strong background in private investment funds, a desire to grow their knowledge and excel in their duties, should apply.

At Ancora, we strive for excellence and we expect all employees' efforts and interactions to be reflective of our high standards. All team members are expected to meet challenges head-on with the highest level of integrity and effort. This will be particularly important in this role as the Officer's job will be to ensure that the group's rights, obligations and interests are protected.

Location

This position is located at Ancora's Cleveland, Ohio, office (remote option).

Duties and Responsibilities

- > Review, negotiate and coordinate documentation for private funds, investment management agreements, subscription documents and other agreements for all Alternatives product offerings
- > Report to Ancora's Chief Compliance Officer and work directly with the Alternatives' team to oversee the compliance and risk program for the private funds and separately managed accounts
- > Act as a subject matter expert to understand and interpret rules and regulations applicable to the Alternatives business, while monitoring for ongoing industry updates or developments
- > Evaluate and challenge internal policies, procedures and practices to ensure continuing oversight and compliance with the latest federal and state laws and regulations
- > Identify and mitigate potential internal and external conflicts and risks to the Ancora Alternatives RIA, including the oversight of investor AML and due diligence reviews
- > Provide oversight and review of Alternatives marketing materials, due diligence and other investor communications
- > Maintain an up-to-date knowledge of industry best practices to provide proactive compliance support and training to portfolio managers, fund operations and accounting, marketing and third parties
- > Other duties and special projects related to Ancora's private funds as deemed necessary

Qualifications

- > Minimum 5-years of investment management legal or compliance experience
- > Strong knowledge of the regulatory environment (SEC, CFTC/NFA, ERISA) governing private fund managers and Commodity Pool Operators/Commodity Trading Advisors

T 216-825-4000
F 216-825-4001

www.ancora.net

Ohio
Cleveland

Michigan
Detroit

Florida
Naples

- > Experience with review, drafting and negotiation of fund formation, offering documents, investment management agreements and other contracts
- > Team-oriented with excellent verbal and written communication skills and the ability to articulate complex thoughts to a diverse audience of non-subject matter experts
- > High level of initiative and ability to work independently with minimal supervision
- > Strong ethical standards, accountability and keen attention to detail and accuracy

Benefits

Ancora offers a competitive salary and excellent benefit package with a culture of teamwork and recognition.

About Ancora

Ancora is client-focused and growth-oriented investment and financial advisory firm based in Cleveland, Ohio. The Firm is recognized for providing investment advisory, money management and retirement plan advisory services to individuals and institutions.

Ancora promotes a friendly, family-oriented work environment and encourages our employees to strive for personal and professional growth with the highest level of integrity.

Ancora is an Equal Opportunity Employer

All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, protected veteran status, disability, or any other basis protected by applicable law.

Visit www.ancora.net for more information.

Apply

Apply online at www.ancora.net/careers or email careers@ancora.net.

