

Vice President | *Compliance*

Pickering Energy Partners (PEP) is in a high growth phase with a recently launched consulting business and an energy transition research business, along with continued growth opportunities for its asset management business.

PEP is seeking a highly-motivated individual for a Vice President in Compliance position in Houston, TX. The ideal candidate should have a strong working knowledge of compliance & controls relevant to an SEC Registered Investment Adviser, have outstanding verbal and written communication skills, be well organized and very detail oriented, as well as the ability to work in a fast-paced, constantly evolving environment. The ideal candidate will also have prior experience in compliance at an RIA or FINRA registered broker dealer.

Primary responsibilities include, but not limited to:

- Design and monitor testing systems to ensure the efficacy of controls and surveillance programs, including the consultation and implementation of relevant technology and technology infrastructure
- Review of client and account documentation for anti-money laundering compliance
- Review, assess, devise, and conduct training of our employees and management, according to needs, particularly regarding the Advisers Act, including training on insider trading, custody, conflicts of interest (i.e. allocations, Pay-to-Play, gifts and entertainment, and cross trades), and valuation
- Preparation and filing of required regulatory filings, for US and international clients
- Advising on compliance with the Securities Act, Securities Exchange Act, Advisers Act and other applicable regulatory directives
- Advising on and reviewing firm marketing and advertising materials for compliance with the Advisers Act and other applicable regulatory requirements.
- Assist in the performance of compliance functions, such as oversight of personal trading, email review, the monitoring of firm trading activities and maintaining restricted lists
- Perform other compliance-related responsibilities and special projects as needed

Prerequisites:

- At least 3-5 years of compliance experience at an SEC Registered Investment Adviser, FINRA regulated institution, or other relevant company.
- Undergraduate degree from accredited university required in relevant field (a law degree, JD or CFA designation is a plus)
- Solid understanding of the Investment Advisers Act of 1940 and Investment Company Act of 1940
- Solid understanding of SEC Exam practices, experience with SEC Exams and mock exams a plus
- Knowledge of CFTC, NFA, and FINRA requirements
- Proven problem-solving skills with ability to quickly process complex information and present it clearly
- Consistently delivers exceptional results and great ideas, working independently and as part of a team
- Energetic, self-motivated and an ability to perform under pressure and meet time sensitive deadlines, sometimes for extended periods of time
- Ability to manage multiple project streams at the same time
- PEP offers a competitive salary and bonus opportunity. Excellent benefits package. To be considered, qualified candidates should send their resumes and salary history to: Resumes@PickeringEnergyPartners.com, and reference “VP Compliance” in the subject

PEP is an SEC Registered Investment Advisor located in Houston, Texas. PEP does not provide corporate advisory or investment banking services on energy-related transactions.

PEP is an EOE, NO CALLS PLEASE.