

## Senior Associate – Compliance

**Location:** Burlington, Vermont

**Job Type:** Full-Time, Exempt

**Compensation:** Commensurate with experience and qualifications

**Reports to:** Chief Compliance Officer

### About the Firm

Champlain Investment Partners, LLC is an independent, employee-owned asset management firm headquartered in Burlington, Vermont. Our partners bring a wealth of experience, averaging over 24 years in asset management, and as of 03.31.25 the firm had approximately \$14.37 billion in assets under management. Champlain was founded with a shared goal – “Deliver Exceptional Investment Results and Develop Enduring Client Relationships” – and this mission continues to serve as the guiding vision for the firm. As Champlain has grown we have continued to be thoughtful in our expansion, acknowledging that while skills and qualifications are important when adding to our team, a candidate’s cultural fit is also vital to the hiring formula. We look for individuals who demonstrate humility, integrity, curiosity, and a hunger for excellence.

### **Equal Employment Opportunity**

Champlain Investment Partners is an Equal Opportunity Employer and considers all qualified applicants without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, disability, or veteran status, or any other legally recognized basis protected by federal, state, or local law.

### About the Position

The Senior Associate – Compliance will be an integral member of the firm’s compliance program, ensuring firmwide adherence to regulatory requirements. This is an opportunity for an analytical, detail-oriented professional to help foster a culture of compliance across the organization. In addition to the responsibilities listed below, this individual will perform other duties as assigned. There is no supervisory responsibility related to this role.

### **Key Responsibilities**

- Help develop, maintain, manage and monitor adviser and mutual fund regulatory compliance programs as required by Rule 206(4)-7 of the Investment Advisers Act of 1940 and Rule 38a-1 of the Investment Company Act of 1940.
- Regulatory Filings: Ensure the timely and accurate completion of all necessary regulatory filings including Regulation D, Section 13, Form PF and Form ADV filings.
- Compliance Testing: Assist in conducting ongoing weekly, monthly, quarterly, semi-annual, and annual compliance testing.
- Portfolio Compliance Monitoring: Maintain the compliance front-end of Champlain’s order management system and review weekly and monthly compliance reports to ensure accounts are being run according to client guidelines and restrictions.
- MyComplianceOffice Administration: Oversee and administer processes facilitated by MyComplianceOffice.
- E-Surveillance: Administer the firm’s email surveillance program, including the development of smart searches, and assignment of compliance team responsibilities to detect any potential fraud, insider trading, misuse of client information, or any other compliance or regulatory issues.
- Risk Management: Maintain on an ongoing basis the firm’s risk assessment and participate in the completion of the annual compliance review.
- Compliance Training: Collaborate with the Chief Compliance Officer in the development and delivery of annual compliance training.

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### Key Responsibilities (continued)

- Policies and Procedures: Maintain Champlain's compliance manual and Code of Ethics, as well as documenting meaningful procedures.
- Monitoring Regulatory Changes: Monitor for regulatory changes and keep up with industry best practices through attendance at conferences and regulatory outreach seminars, as well as topic-specific training provided through online webinars and other methods.
- Regulatory Interaction: Collaborate with the Chief Compliance Officer in preparing for all interactions with regulators and any mock exams.
- Strategic Initiatives: Participate in strategic initiatives to ensure a continued strong compliance culture at Champlain.
- Reporting: Collaborate with the Enterprise Data Management team to design, implement, and maintain data models that support compliance-related reporting and business intelligence. Ensure data accuracy, consistency, and alignment with regulatory requirements and internal policies.

### Work Environment & Benefits

- Champlain has an in-person culture but allows flexibility as necessary to accommodate specific needs.
- Comprehensive benefits package including health, dental, vision, 401(k), paid time off, and continuing education support.

### About the Successful Candidate

#### Education & Experience

- Bachelor's degree required; advanced degree such as a J.D. or M.B.A. preferred.
- 3+ years of experience in compliance, legal, and/or regulatory affairs, or a similar field; other experience in the asset management industry, including in trading, investment operations, data management, and/or client service is a plus.
- Relevant certifications (e.g., IACCP, CFA, or FINRA licenses) or experience with compliance systems (e.g., MyComplianceOffice, Smarsh, etc.) are a plus.

#### Skills & Qualifications

- High level of integrity, sound judgment, and attention to detail.
- Strong analytical and research skills.
- Excellent organizational and communication skills.
- Proficient in Microsoft Office (Excel, Word, PowerPoint).
- Experience with Power BI is a plus.
- Knowledge of regulations applicable to U.S. asset managers, including the Investment Advisers Act of 1940, SEC rules, and FINRA guidelines, is a plus.

### How to Apply

Interested candidates should send a resume and cover letter to [jobs@cipvt.com](mailto:jobs@cipvt.com) in PDF form – Microsoft Word documents will not be considered. No phone calls, please.