

COMMONWEALTH OF PENNSYLVANIA
TREASURY DEPARTMENT

MANAGEMENT POSITION VACANCY

THIS NOTICE IS TO ANNOUNCE THAT A
VACANCY EXISTS AS DETAILED BELOW

- (1) Class Title: Compliance Officer I
- (2) Class Code: T6577
- (3) Office: Bureau of Cash Management and Investments
- (4) Pay Range: 8
- (5)*Last Day to apply for posted positions: **02/20/2020**
- (6) Work Hours: 8:30am – 5:00pm
- (7) Work Location: Harrisburg – Finance Building

Patrick C. Tighe/veg
Director of Human Resources

02/13/2020
Date

TREASURY EMPLOYEES SHOULD USE THE ATTACHED BID FORM TO APPLY, WHICH CAN BE EMAILED TO HR@PATREASURY.GOV. NO LATER THAN THE CLOSE OF BUSINESS ON THE LAST DAY OF ACCEPTANCE.

ANYONE (other than Treasury employees) INTERESTED IN THIS POSITION USE ATTACHED APPLICATION OR GOTO <http://www.patrealury.gov/employment/> TO FILL OUT AN APPLICATION. PLEASE SUBMIT TO HR@PATREASURY.GOV NO LATER THAN THE CLOSE OF BUSINESS ON THE LAST DAY OF ACCEPTANCE.

Compliance Officer I

DEFINITION:

Ensures all Treasury-administered investment portfolios are in compliance with the Treasury's Investment Policy, pertinent investment laws/regulations, as well as all operational policies and procedures are carried out within the established Bureau's guidelines by monitoring and testing the Bureau's internal controls.

EXAMPLES OF WORK PERFORMED:

This position requires detailed working knowledge and understanding of the investment policies, investment laws/regulations and related operations to establish criteria for monitoring and testing of the investment portfolios.

Responsible for correspondence in the event of non-compliance;

Review and test daily investment transactions;

Review monthly/quarterly reports of the Treasury's investment managers;

Prepares monthly investment policy compliance summary reports;

Monitors and test Bureau's internal controls to ensure they are in place and operating properly;

Write reports to the Bureau Director on any non-compliances with the established Bureau's guidelines;

Liaison for internal and external auditors;

Perform other related duties as required to meet the needs of the Bureau's compliance as well as operations.

Assist with the identification of new system or programs and the development of additional compliance, including pre-trade compliance, adherence to Treasury policy guidelines for Shareholder Engagement, and expanded parameters within existing monitoring products.

REQUIRED KNOWLEDGES, SKILLS AND ABILITIES:

Working knowledge and understanding of investment policy compliance;

Working knowledge and understanding of internal controls and related risk assessment;

Working knowledge of proxy voting/shareholder engagement monitoring;

Familiarity with industry compliance tools/systems, Bloomberg, FactSet, custodian bank monitoring systems, etc.

MINIMUM EXPERIENCE AND TRAINING:

Bachelor's degree preferably in Finance, Business, Economics;

or

Five or more years with relevant Compliance Monitoring experience.