



COMPLIANCE ASSOCIATE

About the Firm

Los Angeles Capital, the “Firm”, is a global equity firm engaged in managing assets for leading institutions around the world. The Firm is recognized as a pioneer in dynamic equity management, utilizing proprietary technology to engineer equity portfolios that adapt to today’s equity market. The Firm’s senior investment professionals bring together three decades of investment experience to develop models for measuring and forecasting return and risk of global equity securities. The Firm manages approximately \$25 billion in assets amongst a wide variety of public equity strategies designed to meet institutional client return and risk objectives. The Firm was ranked six years in a row by Pensions and Investments as one of the “Best Places to Work in Money Management”. The Firm’s working environment places a strong focus on teamwork and values work-life balance. The Firm offers a competitive compensation package which includes health care plans, 401(k), and many other top-tier benefits. Since the Firm is 100% employee-owned, Los Angeles Capital firmly believes the quality and commitment of the individuals are vital to the success of the firm, ensuring that client expectations are exceeded.

Position Overview

Reporting to the Compliance Officer, the Compliance Associate will be a member of the Compliance team. The Compliance team’s goal is to promote the highest standards of ethical and professional conduct across the firm and to develop policies, procedures, and testing reasonably designed to identify and prevent violations of securities laws. In this role, the Associate will ensure the company and its employees comply with regulatory requirements, internal policies and procedures, and client guidelines while continually evaluating the effectiveness of internal controls and recommending and implementing improvements to the compliance program as a whole.

Key Job Responsibilities

The following duties are generally representative of the nature of work and are not necessarily all inclusive.

- Conduct testing of policies and procedures across departments to identify and manage risks;
- Develop mitigation controls or remediation recommendations resulting from independent analyses;
- Review policies and procedures to determine whether existing controls are sufficient;
- Prepare and submit regulatory filings;
- Monitor, review, and approve changes to client restricted securities lists;
- Monitor and determine whether approval is appropriate for employee trade, political contribution, and gifts and entertainment requests;
- Prepare responses to client periodic compliance requests and certifications;
- Prepare documentation for external auditors and regulators;
- Support implementation of new compliance program requirements;



- Support new compliance program projects or endeavors, including enhancements to existing systems and applications on which the compliance program operates;
- Respond to employee compliance related matters;
- Proactively identify potential areas of compliance risk and recommend and develop corrective action plans for problem resolution;
- Proactively identify new technologies or efficiencies in workflows to improve the program;
- Train employees on compliance matters; and
- Draft documentation to support compliance decisions.

Skills and Knowledge Desired

- 2 - 4 years of experience in a compliance role, preferably with an investment adviser, though relevant experience in banking or the financial industry is a plus;
- Demonstrated pattern of success in duties and growing responsibilities;
- Experience with StarCompliance or other compliance monitoring software;
- Strong experience using Excel and system tools to develop analytical models and reports.
- Accountability – accepts ownership of decisions, actions, and problems;
- Confidentiality – maintain confidentiality in all matters;
- Analysis – Comprehends issues, draws conclusions, evaluates alternatives, and makes sound judgments and recommendations in a timely manner;
- Coordination and Collaboration – Initiates and/or joins problem solving efforts and projects with other team members and departments;
- Creativity – Suggests or applies new ways of addressing ongoing challenges, issues, and workflows;
- Dependability – Capable of working independently, meeting reasonable deadlines, and accepting responsibility for his/her own actions;
- Communication – Strong verbal and/or written communication skills with all layers of the organization, including senior management.

To apply

Please respond with a cover letter and resume to careers@lacapm.com.

Los Angeles Capital is an SEC registered investment adviser and required to track certain political contributions under rule 206(4)-5. Therefore, you will be required to disclose your prior political contributions.

Los Angeles Capital is an Affirmative Action/Equal Opportunity Employer committed to providing employment opportunity without regard to an individual's race, color, religion, age, gender, gender identity, sexual orientation, national origin, ancestry, marital status, medical condition, genetic information, veteran status or disability. For more information about the company, please refer to our website at www.lacapm.com.

CALIFORNIA EMPLOYEE/APPLICANT PRIVACY NOTICE

In this California Employee/Applicant Privacy Notice (“**Privacy Notice**”), “**Los Angeles Capital**”, “**we**”, “**us**” and “**our**” means Los Angeles Capital Management and Equity Research, Inc., being the entity employing or which may potentially employ you as of the date that you receive this document.

About this Privacy Notice

This Privacy Notice applies solely to employees of and applicants for employment with Los Angeles Capital who reside in the State of California (“**consumers**” or “**you**” or “**your**”). This notice is to comply with the California Consumer Privacy Act of 2018 (“**CCPA**”) and other California privacy laws. Any terms defined in the CCPA have the same meaning when used in this notice. We do not “sell” (as that term is defined in the CCPA) your personal information.

The Privacy Notice sets out the basis on which any “personal information” (as that term is defined in the CCPA) about you will be processed by us. Please take the time to read and understand this Privacy Notice.

Personal information that we collect about you

We may collect and process the following personal information about you (information may overlap several categories):

- **Identifiers.** A real name, alias, postal address, unique personal identifier, online identifier, Internet Protocol address, email address, account name, Social Security number, driver’s license number, passport number, or other similar identifiers.
- **Personal information categories listed in the California Customer Records statute (Cal. Civ. Code § 1798.80(e)).** A name, signature, Social Security number, physical characteristics or description, address, telephone number, passport number, driver’s license or state identification card number, insurance policy number, education, employment, employment history, bank account number, credit card number, debit card number, or any other financial information, medical information, or health insurance information. Some personal information included in this category may overlap with other categories.
- **Protected classification characteristics under California or federal law.** Age (40 years or older), race, color, ancestry, national origin, citizenship, religion or creed, marital status, medical condition, physical or mental disability, sex (including gender, gender identity, gender expression, pregnancy or childbirth and related medical conditions), sexual orientation, veteran or military status, genetic information (including familial genetic information).
- **Professional or employment-related information.** Current or past job history or performance evaluations.

- **Information that you provide to us or one of our affiliates.** In addition to the above we, or one of our affiliates, may collect the following information, which could include information about you that you give to us by filling in forms or by communicating with us, whether face-to-face, by phone, e-mail or otherwise through the recruitment process and during your employment with us. This information may include your date and place of birth, nationality, mobile telephone number, next of kin, emergency contact details, tax details and your date of hire and references.
- **Information we may collect or generate about you.** This includes:
 - work-related details such as your job position, contact details, performance at work, absences, pay and benefits information, service history, a copy of your employment agreement, photograph, health information, pregnancy and/or disability status;
 - information about your entitlement to work in the US;
 - personal information that we collect through your use of our email system (including but not limited to your full name, email address and the content, date and time of your email correspondence);
 - personal information, such as browser history, we collect through your use of our information technology system or our computers, mobile devices, or networks;
 - personal information that we may collect through regulatory filings; and
 - information obtained through an exit interview with you (upon your departure from our organization), including your reasons for leaving.
- **Information we may obtain from other sources.**
 - background screening report;
 - information about you collected via a search of various sanctions lists; and
 - details of your qualifications, skills, experience, licenses, and employment history from references, former employers, regulatory authorities or public sources.

Personal Information does not include your personal information that has been de-identified, pseudonymized, anonymized, aggregated, and/or otherwise processed so as to be unidentifiable in such a way that the data can no longer be attributed to a specific individual (by reasonable means) without the use of additional information, and where such additional information is kept separate and under adequate security to prevent unauthorized re-identification of a specific individual such that one could not, using reasonable efforts, link such information back to a specific individual (the foregoing in this sentence being referred to as “**De-Identified Personal Information**”).

Uses of your personal information

Your personal information may be stored and processed by us in the following ways and for the following purposes:

- to meet our legal and compliance obligations as an employer and perform our obligations and exercise our rights under your contract of employment with us. For example, we use your personal information to pay you, to evaluate your individual performance and provide benefits in connection with your employment;
- to meet our, and our affiliate's, legal and compliance obligations as regulated firms;
- we will use the private contact details relating to you and your next of kin (which you have provided to us for emergency purposes) only in connection with an emergency or for business continuity purposes, including tests of the system;
- we will process personal information related to your use of our email system in order to enable the effective operation of the email system and ensure that it is used in accordance with our policies and procedures;
- we will share your personal information with regulators or legal authorities, as necessary;
- in the event, you seek new employment, we will share your personal information, as necessary to comply with regulation, with a new employer; and
- we will process personal information related to your personal trading, gifts and entertainment, and outside business activities in order to comply with regulatory requirements in the US.

Among other purposes, we may use or disclose your personal information for any of the following purposes:

- it is a requirement in order to perform our obligations and exercise our rights in connection with your employment contract with us;
- we may need to for the purposes of occupational health and to make decisions regarding your fitness for work;
- we, and our affiliate, have legal, compliance and regulatory obligations to discharge;
- we may need to in order to establish, exercise or defend our legal rights or for the purpose of legal or regulatory proceedings; or
- the use of your personal information as described may be necessary for our legitimate business interests (or the legitimate interests of one or more of our affiliates), such as:
 - allowing us to effectively and efficiently administer and manage the operation of our business;

- ensuring a consistent approach to the management of our employees and the employees of our affiliate companies worldwide;
- maintaining compliance with internal policies and procedures; or
- contacting you or your family in the event of an emergency.

Disclosure of your personal information to third parties

We may share your personal information with third parties outside of our company for the following purposes:

- to a third party vendor to collect personal trading details, outside business activities, gifts and entertainment and conflicts of interest information as required to satisfy regulatory requirements;
- if we are acquired by a third party, in which case personal information held by us about you will be disclosed to the third party buyer;
- to service providers, third party agents and contractors for the purposes of providing services to us, including, but not limited to, payroll service providers, insurance providers, employee benefits providers, background screening service providers, IT and communications providers, law firms, accountants, auditors, and corporate credit card provider. These third party service providers will be subject to confidentiality requirements and they will be contractually obligated to use any personal information we disclose to them or which they obtain from us solely to perform services to us or for their internal business use, but no other use;
- to evaluate or conduct a merger, divestiture, restructuring, reorganization, dissolution, or other sale or transfer of some or all of our assets, whether as a going concern or as part of bankruptcy, liquidation, or similar proceeding, in which personal information held by us is among the assets transferred; and
- to the extent required by law, for example if we are under a duty to disclose your personal information in order to comply with any legal obligation, establish, exercise or defend our legal rights.

Retention of personal information

How long we hold your personal information for will vary. The retention period will be determined by the following criteria, as applicable:

- the purpose for which we are using your personal information – we will need to keep the data for as long as necessary for that purpose;
- according to our retention policy; and/or

- legal obligations – we must retain your personal information per laws or regulations which may set a minimum retention period.

We will use commercially reasonable physical, electronic, and procedural safeguards to protect your personal information from loss, misuse, and unauthorized access, disclosure, alteration, and destruction in accordance with applicable law. Note that despite our best efforts, no data security measures can fully guarantee security all of the time.

Changes to Our Privacy Notice

We reserve the right to amend this Privacy Notice at our discretion and at any time. When we make changes to this Privacy Notice, we will notify you by email or through a notice on the intranet.

Contacting Us

If you would like further information on information provided above, please contact Human Resources.

Effective Date: January 1, 2020