

Title: Director of Regulatory Compliance, WaterEquity
Category: Full-time, Exempt
Reports to: Managing Director, WaterEquity
Location: Kansas City, MO
Effective: January 2017

Introduction

WaterEquity is a Kansas City based 501(c)(3) non-profit organization created to capitalize on social impact investing in order to provide more funding for water and sanitation microloans. Those loans change the lives of the 663 million people around the world who lack access to safe water and the 2.4 billion people who don't have access to a toilet.

WaterEquity taps into global capital markets and builds on Water.org's 25 years of experience and success to help scale and accelerate their solutions, such as WaterCredit. We are here to help end the global water crisis. Visit us to find out more at <http://waterequity.org/>.

Summary

The primary focus of the Director of Regulatory Compliance role will be to further develop a strong risk management culture to ensure foreign regulatory compliance risks are identified, monitored and mitigated. The candidate will lead a team of direct report(s) to support the development of an effective regulatory compliance framework including a robust monitoring, testing and internal controls program, issues management processes, compliance program governance and ongoing process improvements.

WaterEquity is in a start-up phase and the position will evolve quickly as the team grows. To deliver on these tasks the candidate must have outstanding communication skills, an ability to anticipate and deliver on the needs of a fast-paced and innovative business, and the flexibility to manage a wide range of projects simultaneously. As a non-profit social investment firm investing in frontier markets, s/he should be comfortable working remotely from other team members, both domestic and international.

Key Responsibilities

Portfolio Execution / Fund Management

- Ability to identify and analyze regulatory, compliance, and business issues proactively in a fast-paced and rapidly changing business and regulatory environment.
- Responsible for all compliance/regulatory matters and legal oversight of fund management.
- Supervise direct reports including compliance specialist(s) based in Kansas City. Primary liaison for oversight of outside counsel in foreign jurisdictions to ensure compliance with local regulatory requirements such as investment approvals, tax payments, and government reporting.
- Timely and cost-effective disbursement of investment funds will be a near-term objective as we launch operations in three new Asian countries in 2017.
- To ensure effective monitoring of the portfolio, he/she will be expected to collaborate successfully with investment management team members in the field including Investment Officers and the Director of Portfolio Development.
- Oversee and develop compliance reporting requirements including but not limited to quarterly compliance reporting and investor account statements.

- Ensure legal registration of all associated US and locally-based entities, as well as associated government reporting and tax compliance.

Strategy & Planning

- Contribute to the development of national-level investment plans in target geographies.
- Represent WaterEquity to sector stakeholders, local service providers (law firms, banks, and consultants) as well as potential investors.
- Support the Director of Portfolio Development and the Senior Management team in continuously refining the investment strategy and accelerating the growth of investment portfolio.
- Participate in organization-wide meetings and activities.

Skills & Competencies

- Strong interpersonal and verbal communication skills, including experience analyzing and synthesizing data. Ability to effectively present information and data in a clear and compelling manner.
- Strong attention to detail and ability to meet deadlines.
- Entrepreneurial spirit and professional maturity; ability to work independently, yet know when to seek support.
- **Plans and Aligns** – Planning and prioritizing work to meet commitments aligned with organizational goals.
- **Strategic Mindset** – Seeing ahead to future possibilities and translating them into breakthrough strategies.
- **Builds Effective Teams** – Building strong-identity teams that apply their diverse skills and perspectives to achieve common goals.
- **Being Resilient** – Rebounding from setbacks and adversity when facing difficult situations.
- **Courage** – Stepping up to address difficult issues, saying what needs to be said.
- **Directs Work** – Providing direction, delegating, and removing obstacles to get work done.
- **Values Differences** – Recognizing the value that different perspectives and cultures bring to an organization.
- **Manages Conflict** – Handling conflict situations effectively, with a minimum of noise.
- **Develops Talent** – Developing people to meet both their career goals and the organization's goals.
- **Customer Focus** – Building strong customer relationships and delivering customer-centric solutions.
- **Nimble Learning** – Actively learning through experimentation when tackling new problems, using both successes and failures as learning fodder.
- **Drives Results** – Consistently achieving results, even under tough circumstances.
- **Collaborates** – Building partnerships and working collaboratively with others to meet shared objectives.
- **Self-development** – Actively seeking new ways to grow and be challenged using other formal and informal development channels.
- **Optimize Work Processes** – Knowing the most effective and efficient processes to get things done, with a focus on continuous improvement.
- **Manages Ambiguity** - Manages ambiguity by operating effectively, even when things are not certain or the way forward is not clear.
- **Instills Trust** – Gaining the confidence and trust of others through honesty, integrity, and authenticity.

- **Financial Stewardship** - Demonstrates fiscally responsible decision making as applicable to one's role.

Qualifications

- Bachelor's degree required, consideration given to professional designations, JD a plus
- Minimum 10 years of relevant professional experience, preferably in financial services.
- Minimum 4 years of experience in compliance within a brokerage or investment advisory organization
- Understanding of and passion for international development and/or impact investing. Prior international experience living or working abroad preferred
- Experience with fund operations

Salary/Benefits

This position offers full-time benefits, including medical/dental insurance, life and disability insurance, retirement program and periodic review for merit and incentive pay based on organizational and personal achievement. Salary will be based on education and experience, and will coincide with similar nonprofit organizations in international development.

Application Information

Please apply at <http://water.org/about/careers/>

Water.org is an equal opportunity employer and is committed to providing an inclusive environment. We do not discriminate on the basis of race, color, religion, gender, gender expression, gender identity, age, national origin, ancestry, disability, marital status, sexual orientation, pregnancy status, military and veteran status, genetic information, and any other status protected by law. We provide qualified applicants and employees reasonable accommodation, when necessary, to enable individuals to complete the application process and/or perform the essential functions of the job.