

Employment Opportunity

Chief Compliance Officer and General Counsel Resonant Capital Advisors

Madison, WI



Please apply on our website:

<https://www.qtigroup.com/find-a-job/details/chief-compliance-officer-and-general-counsel/NM25568368>

ABOUT THE ORGANIZATION



The QTI Group is partnering with RCA Intermediate, LLC (“Resonant”) in Madison, Wisconsin, to hire a **Chief Compliance Officer (CCO) and General Counsel**. We seek an experienced executive-level leader with strong legal, regulatory, operational, and business judgment to oversee the compliance infrastructure of an SEC-registered investment advisory firm offering wealth management, financial planning, and tax advisory and tax preparation services. RCA Intermediate is the parent company of Resonant Capital Advisors, LLC (an SEC-registered investment advisory firm) and QBCo Advisory, LLC (a tax consulting firm organized under the alternative firm structure of the AICPA).



“Resonant’s process is built on decades of experience working with clients. It marries the individual and the technical, the personal with the analytical. We start by understanding your needs, and by building out a comprehensive financial plan for you and your family.”

ABOUT THE OPPORTUNITY



Reporting to the President and CEO, the CCO and GC will be responsible for managing and scaling a robust compliance program to support the firm's investment and growth strategies. Additionally, you will oversee all corporate legal matters, including contract negotiations, vendor management, and risk mitigation. The ideal candidate is an attorney with significant experience advising or working within the RIA and wealth management industry, including deep familiarity with SEC investment adviser regulation, compliance program administration, corporate governance, commercial contracting, and operational risk management. This role will oversee the firm's compliance program while also serving as a strategic legal and operational adviser to executive management.

Core CCO Responsibilities

- Serve as the firm's designated Chief Compliance Officer under the Investment Advisers Act of 1940 and applicable state regulatory requirements, including monitoring and interpreting SEC rules and regulations.
- Administer, maintain, and enhance the firm's compliance policies and procedures, including annual reviews under Rule 206(4)-7.
- Oversee regulatory filings, including Form ADV updates, Form CRS, state notice filings, and related regulatory submissions.
- Monitor and advise on compliance obligations related to fiduciary duties, advertising and marketing, cybersecurity, privacy, books and records, custody, trading, billing, and conflicts of interest.
- Manage compliance oversight relating to the firm's tax advisory and tax preparation operations, including coordination with internal management and professional staff, outside counsel, external consultants and operational personnel.
- Lead SEC or other regulatory examinations, deficiency response processes, internal audits, and remediation initiatives.
- Develop and deliver employee compliance training programs and compliance testing initiatives.
- Assist with the evaluation and implementation of enterprise technology, cybersecurity, privacy, and AI governance initiatives.
- Partner with COO and Director of Operations to ensure the firm's technology ecosystem (e.g., CRM, compliance monitoring, reporting, and other platforms) adhere to regulatory expectations around data governance, books and records, and controls.
- Provide practical guidance to advisory staff regarding client onboarding, investment management operations, trading practices, and client communications.
- Ensure compliance frameworks are scalable to support business growth, including proactive risk assessment protocols for expanding client segments or business opportunities.

Additional Legal (GC) Responsibilities

- Review and negotiate vendor agreements, technology contracts, custodial agreements, referral arrangements, employment agreements, non-solicitation agreements, and other commercial contracts.
- Advise executive leadership on corporate governance, business structuring, acquisitions, succession planning, employment matters, and strategic growth initiatives.
- Coordinate with outside counsel and consultants regarding litigation

Preferred Qualifications

- Juris Doctor (J.D.) from an accredited law school and active bar admission in at least one U.S. jurisdiction, preferably Wisconsin.
- 8+ years of experience in investment adviser compliance, securities regulation, or wealth management legal/compliance functions; large RIA or large institutional investment management firm experience preferred
- Strong working knowledge of the Investment Advisers Act of 1940 as well as other federal and state securities laws as well as IRS and other regulations governing tax advisory and tax return preparation services.
- Experience drafting and negotiating commercial agreements and advising on corporate and employment matters.
- Familiarity with Comply or similar wealth management compliance monitoring platforms required
- Strong organizational, operational, and communication skills, with the ability to interact directly with senior management and sophisticated clients.
- Demonstrated ability to balance regulatory requirements with practical business operations and growth objectives.
- Prior experience with SEC examinations, mock audits, cybersecurity governance, and vendor diligence processes strongly preferred.
- Ability to balance regulatory requirements with the practical business goals of a growing firm
- Demonstrated scalability mindset with experience scaling compliance measures for company growth

Compensation / Structure

Compensation package will be competitive and commensurate with experience and may include base salary, performance bonus, long-term incentive compensation, and participation in executive benefit programs. Hybrid may be considered but candidates must reside in Wisconsin and within driving distance of the Madison office.

Application and Selection Process

The QTI Group is exclusively retained to partner with Resonant in the recruitment of this key leadership role. For immediate consideration, please apply online using the link below.

Apply link: <https://www.qtigroup.com/find-a-job/details/chief-compliance-officer-and-general-counsel/NM25568368>

For more information, contact Nicki McCurdy, Sr Recruiting Director, at nicki.mccurdy@qtigroup.com.