The Rice Partnership

**Compliance Officer**

Reports to: Bonnie Rice, CCO
Location: Honolulu, Maui or San Luis Obispo, CA
Benefits: Yes
Status: Full-time, Exempt
Posting date: June 2026

**Firm overview** The Rice Partnership is a boutique investment advisory firm established in 2005 specializing in wealth management solutions. Our team is composed of bright-minded individuals who help clients while exemplifying the utmost integrity and the highest standards of professionalism. Our clientele consists of executives, business owners, and family offices. Are you seeking a firm that provides clear career paths, support, and coaching to help you reach your professional goals? We work in a friendly and supportive environment with established career paths and plenty of opportunities for long-term growth and advancement.

**Position Summary** The Compliance Officer is responsible for supporting and coordinating the firm's compliance program to ensure adherence to SEC regulations, internal policies, and industry best practices. This position serves as the primary liaison between the firm and its third-party compliance consultants, cybersecurity providers, and internal stakeholders. The Compliance Officer will oversee day-to-day compliance activities, assist with regulatory filings and audits, coordinate human resources compliance efforts, and help maintain a culture of compliance throughout the organization.

This role requires strong organizational skills, attention to detail, discretion in handling confidential information, and the ability to manage multiple compliance initiatives simultaneously.

**Key Responsibilities**

*Regulatory Compliance*

- Coordinate with the firm's third-party compliance consulting provider regarding regulatory requirements, annual compliance reviews, policy updates, testing, and examinations.
- Assist in maintaining the firm's compliance program in accordance with SEC regulations and the Investment Advisers Act of 1940.
- Support preparation for SEC examinations, regulatory inquiries, and audits.
- Monitor compliance calendars and ensure timely completion of required filings, certifications, and regulatory obligations.
- Maintain compliance records, documentation, and evidence of supervisory activities.
- Assist with updates to the firm's Compliance Manual, Code of Ethics, and related policies and procedures.

- Coordinate employee compliance activities, including annual certifications, personal securities reporting, outside business activity disclosures, and gifts and entertainment reporting.

*Human Resources Compliance*

- Partner with firm leadership and external consultants to ensure compliance with federal, state, and local employment regulations.
- Assist in maintaining employee handbooks, policies, and required employment documentation.
- Monitor and coordinate required employee training programs.
- Support onboarding and offboarding processes from a compliance perspective.
- Assist with recordkeeping and reporting requirements related to employment matters.

*Cybersecurity & Information Security Compliance*

- Serve as the primary internal coordinator for cybersecurity compliance initiatives.
- Liaise with third-party cybersecurity providers, IT vendors, and consultants.
- Track cybersecurity assessments, testing, vulnerability management, and remediation efforts.
- Coordinate annual cybersecurity risk assessments and related documentation.
- Monitor compliance with cybersecurity policies, incident response procedures, and regulatory requirements.
- Assist in maintaining business continuity and disaster recovery documentation.

*Vendor & Risk Management*

- Coordinate due diligence reviews of third-party vendors and service providers.
- Maintain vendor compliance records and contractual documentation.
- Assist with ongoing risk assessments and monitoring activities.
- Track remediation efforts and follow-up actions related to compliance findings.

*Training & Communication*

- *Coordinate employee compliance training programs.*
- *Communicate compliance requirements and policy updates to staff.*
- *Promote a culture of ethics, accountability, and regulatory awareness throughout the firm.*

**Qualifications**

*Required*

- Bachelor's degree in Business, Finance, Accounting, Legal Studies, Human Resources, or a related field.
- 3+ years of experience in compliance, risk management, financial services, human resources compliance, or a related field.
- Strong understanding of regulatory and compliance frameworks.

- Excellent organizational, communication, and project management skills.
- Ability to handle sensitive and confidential information with discretion.
- Proficiency with Microsoft Office and compliance management systems.

*Preferred*

- Experience working with SEC-registered investment advisers, broker-dealers, or financial services firms.
- Familiarity with SEC regulations, the Investment Advisers Act of 1940, and compliance program requirements.
- Experience coordinating cybersecurity or information security compliance programs.
- Professional certifications such as IACCP®, CRCM, CCEP, SHRM-CP, SHRM-SCP, or similar credentials.

**Key Competencies**

- Attention to detail
- Regulatory awareness
- Risk management
- Project coordination
- Problem-solving
- Communication and relationship management
- Confidentiality and professionalism
- Time management and organization

**Compensation & Benefits**

- Pay/benefits are competitive based on industry standards.
- Benefits include dental, health care, 401(k) Profit Sharing
- A flexible work schedule, with the option of working remotely on occasion
- Paid personal time off (PPTO) that associates may use for unlimited vacation and flexible time off
- Partial and/or full financial support for professional accreditation/continuing education requirements and other professional/leadership development opportunities

The Rice Partnership is an Equal Opportunity Employer
Please note a background check is part of our pre-hire due diligence process.
1099 Alakea Street, Suite 2510
Honolulu, HI 96813
808-585-7788
Email: Lia@thericepartnership.com
www.thericepartnership.com