

Due Diligence Officer at M Financial Group (Portland, OR)

M Financial Group is a community of leaders comprising the best and brightest minds in our industry. By combining individuals' expertise and skill, M Financial Group has become a powerful force committed to advancing the interests of our industry, communities, and clients for over 40 years. M's solutions are rooted in the diverse expertise of our team, our collaborative approach to innovation and our comprehensive support.

We embrace a progressive, dynamic mindset for every role. M Financial Group provides a professional community that actively supports individuals with diverse backgrounds and perspectives who come together to build and support best-in-class solutions. If you're looking to be a part of a high performing, collaborative, and dedicated team, M Financial Group is in search of our next Due Diligence Officer to join our team.

The Due Diligence Officer is responsible for the management of product offerings for both brokerage and advisory accounts, including traditional retail wealth management products, sophisticated alternative investments, insurance-based products, and complex solutions required to serve unique client needs.

"Products," in this context, includes, but is not limited to, mutual funds, ETFs, UITs, sub-advisors, alternative investments, variable life insurance (including M proprietary variable products), variable annuities, and other products as requested by Member Firm representatives. Responsibilities include chairing the Product Committee, coordinating product

research and due diligence, and relationship management with Member Firms and product sponsors. The Due Diligence Officer also serves as a subject matter expert for internal teams and partners, as well as industry partners and industry regulators.

RESPONSIBILITIES

Product & Platform Review

- Oversee M Holdings Securities' (M's broker-dealer and RIA) product approval process and maintain the approved product platform.
- Lead the Product Committee through the review of products and sub-advisors, delivering information for informed approval or denial decisions including applicable due diligence files: product summaries; fee analyses; strategy and risk profiles, as well as third-party due diligence reports.
- Develop, manage, and periodically update product scorecards and underlying evaluation criteria, integrating data sourced from third parties. Update approved product lists as needed.
- Consult with Compliance on product and sub-advisor reviews.
- Interface with proprietary insurance product team to ensure new products meet review requirements.
- Work with multiple third-party due diligence providers to obtain objective reviews of alternative products and product sponsors.
- Act as liaison between legal department and product sponsors for the review, negotiation, and execution of selling agreements and other contracts

Member Firm Support and Education

- Advise Representatives on the use of alternative investments, product and advisory platforms, and sub-

advisors as well as the required review and approval process for each.

- Consult with Representatives for unique client needs, and research potential product solutions.
- Maintain current knowledge of industry trends to anticipate Member Firm and client needs.
- Manage required alternative product training platform, and work with product sponsors to ensure training is available to Representatives, sourcing supplementary educational materials when needed.
- Disseminate product and investment management related content to Representatives through webinars, conference calls, and articles in M Financial publications.
- Manage the Product page of the Member Firm facing website, including updates to research materials, request submission forms, product guidelines and requirements, and approved products

Additional Responsibilities

- Collaborate with other M Financial teams, such as Compliance, Risk, Supervision, and Investment Operations as needed to facilitate the compliant and efficient use of products by Representatives and Advisors.
- Oversee separately managed account options within M Financial's private placement life insurance platform.
- Collaborate with Compliance to understand changing regulatory guidance and requirements related to products and platforms, and adjust processes as appropriate.
- Document and disseminate policies and procedures related to product review.
- Assist internal sub-advisor with identification of potential alternative investments

QUALIFICATIONS

- At least seven years of related experience with a deep understanding of the investment industry, including all

asset classes.

- Bachelor's degree required.
- Series 63 and 65, or the ability to obtain licenses within 12 months required. Series 7, 63, or 24 preferred.
- Experience with Morningstar preferred.
- Knowledge of FINRA and SEC rules and regulations.
- Ability to analyze complex information from a wide variety of perspectives.
- Strong organizational skills and excellent attention to detail.
- Strong verbal and written communication and presentation skills.
- Ability to work independently and manage multiple projects and deadlines through prioritization

JOB CONDITIONS AND ENVIRONMENT

- Hybrid work environment in Portland, OR offering a blend of virtual/work from home and onsite days designed to support flexibility.
- Normal office environment/desk assignment.
- Extensive close work with spreadsheets, reports and PC's.
- Potential for light travel, up to 10%

This position description is not intended to be and should not be construed as an all-inclusive list of responsibilities, skills or working conditions associated with this position. While this description is intended to accurately reflect the position's activities and requirements, management reserves the right to modify, add or remove duties as necessary.

M Financial is proud to be an equal opportunity workplace.

[Click here, for more information and to apply.](#)

Associate Vice President – East at Keystone National Properties (Remote, NY)

Keystone National Properties (KNPRE) is looking for a dynamic, self-starter to join our team as Associate Vice President – East (AVP) and support our distribution efforts throughout the United States. This role would work with the Regional Vice President -East (RVP) to execute business strategies within their territory. KNPRESyndicates tax-advantaged and impact investments in the independent broker-dealer and RIA channels.

Founded in 2016, KNPRES is a real estate investment firm whose team is passionate about delivering value, the strategic growth of the firm, and positively impacting the world. KNPRES's founding philosophy is "Doing well by doing good." This is a great opportunity to join a rapidly growing company.

As an AVP, you will be partnered with one or more RVPs, both responsible for driving sales by proactively marketing KNPRES's real estate investment products. You will accomplish this by developing new business opportunities and fostering existing relationships through phone and web-based sales and service engagements. The East Coast territory includes all states East of the Mississippi River.

Duties/Responsibilities:

- Ability to establish and maintain ongoing relationships with one or more External Wholesalers and actively participate in the development and successful execution of the territory business plan.
- Support inbound telephone queue where you will answer

product questions, fulfill requests for marketing collateral, application kits, and hypothetical illustrations.

- Provide sales support and service through proactive calling and web-based meetings.
- Make proactive calls-outs as part of marketing or product campaigns, to communicate program updates, and sales ideas, generate leads, schedule meetings, and drive attendance for KNPRE events.
- Collaborate on call campaigns to launch new products and identify new sales opportunities.
- Serve as trouble-shooter and problem solver for advisors on product and process issues and maintain a strong knowledge of available corporate resources, referring advisors to appropriate areas as necessary to ensure problem resolution.
- Document activity in the CRM system (HubSpot) i.e. appointments, sales calls, follow-ups, call campaigns and sales opportunities etc.
- Productively work together and collaborate with other team members.
- Demonstrate excellent listening skills to assess an advisor's needs better and determine the type of sales support necessary to accomplish the objective and add value to the products.
- Keep your manager apprised of any training or development needs that will result in more outstanding performance and personal growth.
- Build and maintain strong product knowledge including any related economic, industry, and competitor information and prepare routine sales/marketing reports.
- Under limited direction, uses specialized knowledge and skills obtained through education and experience to help advisors.
- Assist in all aspects of the sales process, including product education, case design, competitive analysis, and managing and tracking outstanding case pipelines.

- Assist in the development of target market campaigns, follow-up communications, and phone coverage of respective territories.
- Other duties as assigned.

Qualifications:

- Bachelor's degree or equivalent experience.
- At least 2 years of sales, marketing, or customer service experience in the financial services industry.
- Strong knowledge of DST and land programs preferred.
- Active FINRA Series 7 or 22 and 63 licenses preferred.
- Strong oral and written communication skills. Capable of presenting technical product knowledge with professional phone and/or face-to-face skills.
- Highly motivated and able to work independently and perform under pressure. Ability and desire to spend a significant portion of the job developing relationships virtually and over the phone.
- Excellent interpersonal skills and ability to work in a team environment. Strong territory management, independence, and organizational skills.
- Working knowledge of office automation tools; experience with contact management tools a plus.
- Organizational, communication (verbal and written).
- Problem-solving, mathematical, statistical, and analytical.

Employment Type: Full-time

Location: Remote

Work Environment:

The work environment characteristics described here are representative of those an employee encounters while performing the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform essential functions.

- Analyzing Data or Information – Identifying the underlying principles, reasons, or facts of information by breaking down information or data into separate parts.
- Getting Information – Observing, receiving, and otherwise obtaining information from all relevant sources.
- Interacting With Computers – Using computers and computer systems (including hardware and software) to program, write software, set up functions, enter data, or process information.
- Processing Information – Compiling, coding, categorizing, calculating, tabulating, auditing, or verifying information or data.
- Communicating with Supervisors, Peers, or Subordinates – Providing information to supervisors, co-workers, and subordinates by telephone, in written form, e-mail, or in person.

Physical Demands:

The physical demands described here represent those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform essential functions. While performing the duties of this Job, the employee is regularly required to sit; use hands to finger, handle, or feel; reach with hands and arms and talk or hear. The employee is occasionally required to stand and walk. The employee must occasionally lift and/or move up to 10 pounds. Specific vision abilities required by this job include close vision, distance vision, color vision, peripheral vision, depth perception, and the ability to adjust focus.

The above job description is not intended to be an all-inclusive list of duties and standards of the position. Incumbents will follow any other instructions, and perform any other related duties, as assigned by their supervisor.

Travel: Some travel is required to fulfill the job responsibilities.

Employment Type: Full-time

Internal Wholesaler at Triton Pacific Securities, LLC (Dana Point, CA)

Partner with a Regional Vice President (RVP) to execute business strategies within an assigned territory with a focus on acquiring new business and growing existing relationships. This position plays a key role by leading or supporting business development efforts with strategic financial advisor clients. The position is located in Dana Point, CA until we relocate to our new expanded office footprint in Irvine, CA in Q2 2023.

Specific Responsibilities Include:

- Primarily motivated by sales success and meeting firm sales goals and targets with an emphasis on acquiring new business.
- Be responsible for sales completion as determined by sales goals and number of outbound/inbound sales activity.
- Maintain a minimum call volume each day and a targeted number of appointments on behalf of the RVP.
- Serve as a point of contact regarding service and support.
- Manage and maintain CRM (Salesforce) and help RVP maintain client profiles and an optimized travel

schedule.

- Develop extensive working knowledge of Triton Pacific product offering(s).
- Attend certain firm events such as conference calls, broker dealer events, due diligence events or other business initiatives sponsored by the firm.

Qualifications:

- Desire and ability to work successfully in an entrepreneur environment.
- Superior verbal and presentation skills.
- Successful track record in developing and managing sales territory.
- Ability to use initiative and work independently while also being a team player.
- Personable and possess the ability to communicate with all members of staff and clients.

Skills & Experience Required:

- FINRA series 7 and 63 licenses.
- 2+ years of internal wholesaling to financial services industry experience.
- Bachelor's degree.
- Strong proficiency in Microsoft Office and CRM (Salesforce).
- Exceptional communication skills; ability to communicate with internal and external business partners at all levels.

Salary + Commission + Benefits:

- Compensation is based on experience and industry standards.

Benefits include:

- Medical Plan, Dental, Vision, with optional Life and AD & D, Long-Term Disability, Short-Term Disability, FSA,

Director of Capital Markets (Internal Wholesaler) at Cottonwood (Remote)

Job Description:

The Director of Capital Markets will be partnered with a Cottonwood External Wholesaler in an assigned sales territory. This individual is responsible for assisting External Wholesaler in creating new and managing existing relationships with advisors to increase Cottonwood's visibility and market share of products throughout the given territory. This position requires an individual that has a sales focus with excellent phone skills, strong work ethic and a competitive drive to succeed.

Essential Job Duties & Responsibilities:

- Make proactive sales calls on a daily basis with existing and new advisors to strengthen relationships and find selling opportunities. This includes sales campaigns, new business, follow-up calls, and others as directed.
- Schedule quality appointments, conference calls and/or webinars for the External Wholesaler each week.
- Proactively research and manage territory goals and initiatives.
- Work closely with the External Wholesaler to develop and execute an appropriate business plan to maximize territory sales.
- Identify and actively convert prospects into producers.

Job Requirements (Knowledge, Skills, and Abilities):

- Prior investment industry experience
- Must have the ability to work in a challenging and collaborative environment
- Possess excellent oral and written communication skills
- Possess excellent interpersonal and customer service skills
- Proven ability to pay attention to detail and multi-task
- Must have strong relationship building skills
- Must be a detail-oriented, well-organized self-starter with high energy and creativity
- Light travel, as needed, to assist the Capital Markets team at industry and broker dealer conferences

Education & Experience Required:

- Bachelor's degree preferred

Certifications, Licenses, Registrations Required:

- Series 7 and 63/66 Required

Company Description:

Headquartered in Salt Lake City, Utah, Cottonwood is a fully integrated real estate company focused exclusively on the multifamily asset class. Cottonwood has significant experience in multifamily acquisitions, ownership, development and structured investments, and is led by a core executive management team with over 200 years of combined industry related experience and has spent an average of the past 14 years together working on the day-to-day strategy of the company.

Cottonwood invests primarily in major metropolitan markets throughout the U.S. and currently manages over 12,000 apartment units across 10 states, representing approximately \$3.5 billion in assets under management.

Financial Analyst at Snyder Kearney, LLC (Remote)

SK Research and Due Diligence, LLC is an affiliate of Snyder Kearney, LLC, the leading provider of independent research and due diligence services to broker-dealers and registered investment advisors in the alternative investment industry. The firm is seeking a financial analyst to expand its Financial Team, which leads the efforts in creating some of the firm's key research publications and, from time-to-time, provides financial analysis support for the due diligence efforts of the organization.

The Financial Analyst will serve as a member of the Financial Team and will provide support for the team by preparing Excel-based reports based on the review of financial statements of public companies, including real estate investment trusts (REITs), business development companies (BDCs), closed end funds and other types of alternative investment products. The analyst will also be responsible for reviewing news articles and regulatory filings of various companies and drafting content for the daily newsletter for our clients based on those items. The analyst will provide additional support to the financial team and due diligence teams of the firm on various other matters, as needed, including conducting periodic research on various real estate sectors.

Qualifications include:

- Bachelor's degree in Accounting or Finance (or similar technical field)
- 0-3 years of relevant work experience in financial services or real estate investments, preferably in analyzing financial statements and compiling data into

reports

- Understanding of financial accounting concepts; prior experience with GAAP preferred
- Strong proficiency with MS Excel, including the abilities to collect and organize large data sets, use advanced Excel formulas to analyze data and create high-quality charts and graphs
- Strong attention to detail
Strong written and verbal communication skills
- Ability to work in a deadline oriented, fast paced environment
- CFA or CPA, or working toward the completion of CFA or a CPA a plus, but not required

Firm has a remote work environment and offers competitive compensation package including health insurance with employer-paid premium for individual coverage; 401(k) plan with employer contributions; and paid time off and holidays.

Please submit resume to info@snyderkearney.com with "Financial Analyst Resume" in the subject line.

Senior Due Diligence Analyst at FactRight (Eden Prairie, MN or Remote)

FactRight is the premier source of credible perspective and advice for wealth managers seeking access to alternative investments. Our team consists of credentialed professionals with expertise in assessing investment sponsors and their offerings. FactRight simplifies complex investments, providing clarity to our broker-dealer and registered investment advisor

clients, which allows them to make critical investment decisions in less time with fewer headaches.

We are passionate about alternative investment due diligence! We are looking for an experienced finance professional to join our tight-knit team of analysts.

Duties will include:

- Leverage due diligence findings to help wealth managers make informed decisions for their clients
- Evaluate complex product structures to identify and prioritize potential risks
- Perform due diligence analysis of investment by reviewing third-party documents and industry research, concentrating on asset condition and performance, legal aspects, and financial underwriting of illiquid securities offerings
- Assess the financial status, prior performance, internal controls, and overall quality of product sponsors/managers through operational due diligence
- Assess program performance, relative to peers and market conditions
- Compose technical due diligence reports and issue client recommendations, both orally and in writing, based upon the review and analysis
- Represent company at industry conferences and client meetings

Applicants must demonstrate:

- Initiative, self-motivation, and integrity
- Willingness to be a strong, collaborative player in a growing company
- Desire to continuously learn and improve
- Highly proficient qualitative and quantitative analytical skills
- Strong writing and oral communication skills—this

position involves a substantial amount of writing and client interaction

- An inquisitive nature and critical thinking
- Ability to manage several review projects simultaneously and effectively
- Resourcefulness
- Passion for capital markets or the financial services industry, and understanding of financial terminology and/or securities regulations

Qualifications:

- CPA strongly preferred. CFA designation/candidate, MBA graduate, or CAIA designation considered.
- College-level degree required (in finance, economics, business, or related field of study).
- 5 to 15+ years of accounting or auditing, financial analysis, investment banking, private equity, alternative investment analysis, or similar experience required

To apply, please email resume to Brandon@FactRight.com.

RVP, External Wholesaler at Pacific Oak Capital Markets (Ohio Valley Territory)

ABOUT PACIFIC OAK CAPITAL MARKETS

Pacific Oak Capital Markets is a wholesaler and managing broker-dealer for alternative investment offerings. Pacific Oak Capital Markets is committed to representing products where financial professionals can match capital with

opportunity for their clients. Our team focuses on providing financial solutions to financial advisors and registered investment advisors. Its investment professionals are dedicated to delivering offerings that produce compelling risk-adjusted returns through real estate, private equity, and other alternative investment products.

Overview

Founded in 2018 as a spin-off of a highly successful alternative investment group, the Pacific Oak Companies is a manufacturer and distributor of real estate-related alternative investments. With \$4b in AUM, Pacific Oak Capital has a strong history of providing performance, service and support to financial advisors and their clients. Pacific Oak Capital Markets distributes products such as non-traded REITs, private offerings, opportunity zone funds and DST's.

General Description:

The position comes with a high level of autonomy and requires building and maintaining relationships with financial advisors/brokers to generate required production/sales revenue from the products represented by Pacific Oak Capital Markets. The position also requires the development of a tactical plan and thoughtful, diligent execution of territory management. The **Ohio Valley Territory** encompasses Western Pennsylvania, Ohio, , Michigan, Kentucky, and Indiana).

Essential Duties and Responsibilities:

- Work to increase sales within the territory by developing and maintaining new and existing relationships with third parties, which includes independent financial planners and registered investment advisors.
- Conduct the following activities to develop relationships and raise capital for Pacific Oak distributed offerings: meet with advisors in territory,

conduct client seminars, attend broker/dealer conferences and annual meetings, build relationships with sales management at key firms.

- Work in coordination with internal sales partners, provide direction for outbound sales call campaigns and strategic territory coverage.
- Maintain high activity level of face-to-face selling,
- Will require multiple days a week in the field.
- Assist with developing and implementing wholesaling business plans for the territory to deliver on sales goals.
- Manage expense account within allotted budget.

Requirements

- Five or more years relevant experience. Interest and/or experience in the alternative investment space and/or independent broker-dealer channel preferred. Must have an in-depth knowledge of investment products, financial markets and competitive landscape, product performance, and investment management philosophy.
- Bachelor's degree (B. A.) from four-year college or university; or equivalent combination of education and experience.
- Strong sales abilities are required, evidenced by a track record of increasing new business and developing relationships. Must be able to use appropriate interpersonal styles and communicate effectively and professionally, both orally and in writing.
- Extensive knowledge of the financial services industry, alternative investments and other investment vehicles. Strong relationships with sales, business, product, and research personnel in the independent broker/dealer channel.
- Ability, to analyze and interpret general business periodicals, professional journals, technical information or governmental regulations.

- Ability to effectively prepare and deliver clear, convincing, and professional sales presentations and respond to inquiries/questions from groups of managers, clients, customers, and the general public.
- Series 7 and 63 required.

To apply, please email Jeff Kremin at jkremin@pac-oak.com using the subject line "Application for Ohio Valley RVP"

Due Diligence/Financial Analyst at Buttonwood Due Diligence (Littleton, CO)

Due Diligence/Financial Analyst

Buttonwood Due Diligence, a well-respected provider of independent investment research and due diligence services to broker dealers and registered investment advisors in the alternative investment industry, is looking to hire an experienced due diligence/financial analyst. Our ideal candidate will be a self-motivated and detail-oriented individual entrusted to work independently in the review and evaluation of investment sponsors and their investment program offerings. Review types are diverse and include REITs, Funds, DSTs, TICs and other public and privately offered alternative investments.

This role is open to all U.S.-based applicants and the candidate will have the option of working from our offices in Littleton, Colorado, or working remotely from the location they choose. Periodic visits to Buttonwood's home office will be required if working remote.

Primary Responsibilities

- Review public and privately offered alternative investment offerings and related documents with attention paid to program detail, financial analysis, demographic review, etc.
- Sponsor review engagements with attention paid to reviewing and evaluating sponsor operations, prior performance, capabilities, etc.
- Draft investment research reports conveying details of research and review work including findings, conclusions, context, etc.
- Maintain knowledge of industry trends and their potential impact on Buttonwood
- Attend industry events (i.e., Buttonwood's conference, ADISA, IPA, etc.) on a limited basis. Likely 2-3 events per year.

Preferred Qualifications

- Law degree or undergraduate/graduate degree in finance, economics, accounting or similar
- Financial services and/or legal experience with securities offerings, alternative investments, or similar areas.
- Familiarity with alternative investments, topics, and trends.
- Demonstrable communication, relationship, and team skills.
- Significant degree of self-motivation, direction, and integrity.
- CFA, CFE or CAIA designation a plus.
- Travel within the U.S. may be required on a limited basis to conduct sponsor reviews, industry events and visit Buttonwood's offices.

Buttonwood offers benefits including health insurance coverage, retirement plan contributions, generous paid time

off, relaxed work environment, etc. Equity ownership in Buttonwood may be an option in the future for the candidate that proves to be a great fit with the Company. Buttonwood is an Equal Employment Opportunity employer and does not discriminate against any applicant for employment or employee on the basis of race, color, religious creed, gender, age, marital status, sexual orientation, national origin, disability, veteran status, or any other classification protected by applicable discrimination laws.

Application and Additional Information

To be considered for this opportunity, please submit resume, with your preferred total compensation range, to:

Steve Ogrin: sogrin@buttonwoodllc.net or Vince Brady: vbrady@buttonwoodllc.net

Want more information but not yet ready to apply, please contact Steve or Vince at the email addresses listed above to chat.

The DI Wire

Account Executive to Account Manager Positions at Spotlight Marketing Communications (Orange County, CA)

Spotlight Marketing Communications seeks a talented account executive, senior account executive and/or account manager to

join our thriving firm based in Orange County, California. We seek candidates with professional content development skills, excellent media relations and pitching, writing, and program management experience. One or more new team members will be hired – title and compensation will be determined by the experience and skill level of successful candidates.

Spotlight is the nation's premier integrated marketing and public relations firm specializing in the alternative investment industry (primarily investment securities tied to commercial real estate). As such, prior experience in the investment arena, financial services or other sophisticated business segments is highly valued (but not required). Most valued among prospective team members is excellent work ethic, attitude, and (above all) talent.

Primary Responsibilities

- Lead the development and execution of comprehensive PR and marketing strategies to meet client needs
- Develop/cultivate relationships with client contacts and external audiences.
- Ongoing client communication and account management
- Maintains contact with media and outside vendors, as assigned
- Conduct ongoing media relations, including daily outreach – plus nurturing existing media/influencer relationships
- Draft written materials including compelling pitches, news releases, product one-sheets, Q&As and more (for a trade or consumer media audience)
- Develop and refine media contact lists
- Execute comprehensive PR plans developed by the agency
- Conduct research and prepare background materials for PR planning purposes
- Assist with planning and execution of media/blogger events, trade shows and press tours
- Develop content for various PR and marketing needs

- Accurate tracking and logging of billable time and budget management

Requirements

- 3-6+ years of related agency or in-house professional PR/marketing communications experience
- Experience working in financial services, investments and related arenas is highly desired. Applicants with strong experience in other client practice specialty areas in other industries will also be considered.
- Comprehensive experience in and understanding of public relations, media relations and integrated marketing communication campaigns.
- Ability to think creatively.
- Ability to plan strategically and globally.
- Strong oral, writing, and editing skills.
- Skill at developing/delivering presentations for clients and prospective clients.
- Superb interpersonal skills.
- Ability to budget programs and manage client finances.
- Availability to travel as needed to off-site meetings.

If you believe this description fits you and you are looking for a position with growth opportunity in a thriving agency, please send your resume and writing samples to info@spotlightmarcom.com along with a cover letter explaining why you think you are the right candidate for the position and desired salary.