LYNEER SEARCH GROUP

CASE STUDY

WEALTH MANAGEMENT | NATIONAL FIRM | COMPLIANCE AND RISK

A national wealth management company needed an audit-grounded compliance leader. The placement led to new search orders.

The search called for deep audit experience combined with financial services compliance and regulatory expertise.

INDUSTRY	FUNCTION	ROLE	COMPENSATION	ENGAGEMENT	RESULT
Wealth management	Compliance and risk	Compliance and Risk Officer	$250K	Executive search	Candidate placed

THE SEARCH

A critical search for a senior compliance and risk professional responsible for developing and testing risk-based compliance programs aligned with industry best practices.

KEY REQUIREMENTS

- 5 to 10+ years of experience in compliance, audit, or regulatory functions
- Strong knowledge of applicable regulations and industry standards
- Ability to develop and test risk-based compliance programs
- Financial services, banking, or asset management background
- Audit-oriented approach to risk and compliance

SEARCH CHALLENGE

The search called for a particularly strong candidate with a deep audit foundation combined with financial services compliance and regulatory expertise. Finding an individual who could operate effectively across both audit and compliance disciplines required a targeted search strategy and extensive candidate evaluation.

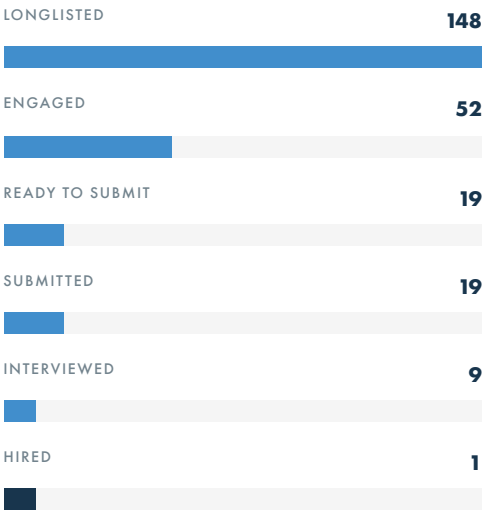
HOW WE RAN THE SEARCH

1. **Targeted the right backgrounds.** We recruited from financial services, wealth and asset management, and banking, starting with operational risk.
2. **Evaluated candidates extensively.** 148 candidates were longlisted and 52 engaged, screened for audit depth and compliance and regulatory expertise.
3. **Screened for directly relevant work.** Information security and privacy risk assessment experience was a priority.

THE OUTCOME

We identified and placed the appropriate candidate. The placement subsequently contributed to multiple new search orders from the client, expanding the relationship beyond the initial engagement.

THE SEARCH FUNNEL



148 : 1

CANDIDATES LONGLISTED PER PLACEMENT

WHY IT MATTERS

The role sits in the second line of defense and works much like an audit function. It develops risk-based compliance, testing, and monitoring programs against standards such as GLBA and FFIEC, leads information security and privacy risk assessments, and supports remediation and breach analysis, with cybersecurity awareness central throughout.

Ready to start a search?

We place finance, accounting, underwriting, and actuarial leaders at insurance carriers, MGAs, reinsurers, RIAs, family offices, and financial services firms, and have done it since 1993. Every retained search we have accepted has ended in a placement.

hello@lyneersearch.com

646-543-8865

lyneersearch.com