



Chief Operating Officer

Location: Seattle, Washington

Compensation: \$200,000 – \$240,000 base salary, plus bonus up to 30% of total compensation

RIA Size: 20 Employee, \$2.5B AUM Registered Investment Advisor

Position

We are seeking an accomplished forward-looking **Chief Operating Officer (COO)** to lead and optimize firm-wide operations for a \$2.5 billion AUM registered investment advisor. The COO will provide strategic and hands-on leadership across compliance, technology, process management, HR systems, custodial relationships, cybersecurity, vendor management, and other operational domains. This role requires a strong understanding of investment industry operations combined with a strong aptitude for cloud-based technologies, business process automation, and people leadership.

Key Responsibilities

- **Operational Oversight**
Direct management of all operational functions, including technology, compliance, process automation, HRIS, custodial relationships, cybersecurity, business intelligence, vendor management, and other like areas.
- **Technology Leadership**
Drive adoption and integration of **cyber security, Microsoft 365 stack, Power Platform, Copilot, Salesforce**, and other enterprise applications. Ensure optimal SAML/SSO configurations and oversee portfolio reporting systems. Manage creation, maintenance, and use of CoPilot agents. Oversee data management and data architecture.
- **Process Management**
Architect, implement, and continuously refine business processes for scalability and efficiency. Lead initiatives in **business process automation (BPA)** and database architecture to enhance client experience and internal workflows.
- **Compliance & Risk Management**
Lead firm SEC compliance to ensure all systems, processes, and third-party relationships meet regulatory and industry standards.
- **Team Development**
Lead, mentor, and develop client operations team; foster a culture of accountability, professional growth, and innovation.
- **Vendor & Custodian Relations**
 - Negotiate and manage vendor contracts and maintain productive relationships with custodians and other strategic partners.



Qualifications

Experience

- Some combination (2/3) of:
 - Minimum **5 years of investment industry operations** leadership.
 - Minimum **5 years in business process automation** strategy and execution.
 - Minimum **5 years in people management**.
- Proven track record implementing **Microsoft 365, Power Platform, and Salesforce or Dynamics** solutions.
- Hands-on knowledge of **database architecture**, portfolio reporting platforms, and enterprise SAAS management.

Preferred Backgrounds

- **Industry Experience Path** – Experienced leader in financial services operations, forward-leaning on cloud technology adoption, holding relevant Microsoft and Salesforce certifications, with a strong focus on business process automation. Or:
- **Consulting Path** – Former Manager/Senior Manager from Accenture, Deloitte, Slalom, or similar, with a specialization in **business process automation, execution, and management**, coupled with exposure to financial services operations.

Education

- Bachelor's degree from an accredited institution with a strong record of academic achievement.
- MBA, MIS, or other advanced degree preferred.
- Possible certifications consistent with technology experience.

Core Competencies

- Strategic and tactical operational leadership.
- Strong technical expertise in Microsoft, Salesforce, and/or other database platforms.
- Proven business process architecture and automation capability.
- Understanding of regulatory compliance in investment advisory.
- Exceptional interpersonal, negotiation, and leadership skills.

Compensation & Benefits

- **Base Salary:** \$200,000 – \$240,000.
- **Bonus:** Up to 25% of total compensation. Comprehensive health, retirement, and professional development benefits.
- In-office Downtown Seattle requested, with some flexibility to WFH on occasion.

Please send your resume and a non-AI generated cover letter to hr@gardecapital.com.