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# Example of Analyst, Compliance Job Description

Our growing company is looking to fill the role of analyst, compliance. We appreciate you taking the time to review the list of qualifications and to apply for the position. If you don’t fill all of the qualifications, you may still be considered depending on your level of experience.

## Responsibilities for analyst, compliance

* Monitor equity trading supervisors to ensure that they are completing their assigned supervisory responsibilities
* Assist Firm’s Institutional Audit Group with drafting audit plans, conducting on-site examinations and writing audit reports of equity trading
* Track away accounts and outside business activity
* Review electronic communications
* Monitor trade reporting
* Conduct periodic reviews of employee groupings
* Deal with IT issues regarding CREM
* Undertake client re-reviews in accordance with regulatory requirements to ensure up to date documentation is maintained for existing counterparties
* Assist in the approval of new counterparties and ensure proper documentary evidence of CDD is obtained at outset of the relationship
* Assist in reviewing country risk ratings periodically

## Qualifications for analyst, compliance

* Proven ability to build rapport and convey complex plan design issues in an easily understandable manner
* Assist in investigating and resolving the alerts generated in the AML monitoring system
* Ensure existing controls, policies and procedures in relation to anti-money laundering are kept up-to-date
* Keep abreast of developments on money laundering and its prevention
* Understanding of AML
* Series 7 & 24 preferred or willing to complete