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# Example of Analyst / Senior Analyst Compliance Job Description

Our company is hiring for an analyst / senior analyst compliance. Please review the list of responsibilities and qualifications. While this is our ideal list, we will consider candidates that do not necessarily have all of the qualifications, but have sufficient experience and talent.

## Responsibilities for analyst / senior analyst compliance

* Evaluate the impact of deficiencies, determine the root cause, and help design remediation plans
* Prepare presentations, status updates for management and the Audit Committee
* Champion and execute compliance training and internal control best practices
* Collaborate with Internal Audit, external auditors, IT Compliance, and process owners to understand processes and determine priorities
* Proactive research on relevant regulatory and industry best practices for establishing, maintaining, and improving internal controls
* Collaboration with external auditors to understand PCAOB developments and implications to the Company’s compliance program
* Advise management of compliance considerations for any reorganizations, system implementations, and/or process changes
* Provide realistic and actionable advice to SOX owners to support accurate financial information and satisfy regulatory concerns
* Serve as a compliance resource for the Marketing and Financial Advisors Services teams
* Program manage internal business partners to ensure timely delivery of compliance reporting and initiatives

## Qualifications for analyst / senior analyst compliance

* CISA, CISSP other related technology governance certifications a plus
* Familiarity with systems and software development
* Experience with GRC and controls baselines
* Familiar with cloud computing and a whole bunch of acronyms like SaaS, IaaS and PaaS
* Good understanding of the Sarbanes-Oxley law section 404
* Knowledge of ACL is a plus