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# Example of Asset Management Compliance Job Description

Our growing company is looking to fill the role of asset management 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 asset management compliance

* Prepare and co-ordinate monthly SOX and Audit technology updates for distribution to the T&O Risk extended team
* Attend meetings and hold ad hoc discussions with business to understand new initiatives, offer compliance guidance, and determine sales and distribution related potential impacts for global distribution of advisory products and services
* Review client specific and other institutional product (US and Global) related marketing communications
* Analyze relevant policies and procedures and conduct interviews with staff, conducting and documenting detailed testing of the Volcker requirements
* Work to enhance the visibility of the Volcker monitoring and testing program and establish key business relationships
* Coordinate with the business areas, Legal, Technology and Operations to assist with new business initiatives and regulatory requirements
* Advise on applicable rules and regulations and coordinate regulatory relationships and inquiries, including licensing, regulatory reporting requirements, data privacy and outsourcing
* Interact closely with counterparts in Hong Kong, EMEA and the US to develop where applicable, regional policies and procedures in order to comply with the regulatory requirements
* Provide policy guidance to the business and conduct requisite Compliance training
* Monitor and escalate aging issues and unresolved disputes to management

## Qualifications for asset management compliance

* Strong knowledge of securities regulations as they relate to investment management and prospectus and non-prospectus mutual funds
* Strong knowledge of anti-money laundering/anti-terrorist financing law as it relates to investment management
* Experience developing and executing compliance programs
* Degree in Business, Finance, Law or equivalent
* Strong computer skills – database development and management
* Servicing both institutional and retail clients other relevant HK regulations