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# Example of Asset Management Compliance Job Description

Our innovative and growing company is hiring for an asset management compliance. If you are looking for an exciting place to work, please take a look at the list of qualifications below.

## Responsibilities for asset management compliance

* Support the AMC Institutional and Intermediary directors in making various regulatory filings that support the business activities of the institutional and intermediary distribution teams including State lobbyist filings and Firm foreign registration reporting requirements, 529 related reporting and gathering supporting documentation for the Firm’s required annual custody rule review, U4, U5, and NFA/CFTC filings as well
* Serve as primary backup support on institutional RFP, RFI, DDQ and client service requests and assist with compliance support for the Firm’s WRAP/SMA business
* Assist with various projects including NFA Bylaw 1101 annual review, annual QIB certification process, and SalesForce updates to offshore marketing requirements
* Manage creation, maintenance and implementation of several policies and procedures applicable to the Intermediary and Institutional distribution functions
* Support Intermediary Product and Marketing Registered Principals with supervision oversight issues/question
* Assist with Social Media related projects and approval requests
* Stay up to date on regulatory and industry changes and assist in the development of impact assessment and summary communication for his/her business partners
* Assist with adhoc AML and ABC case researches
* Conduct reviews of marketing materials to ensure conformance with US regulatory requirements firm policies and procedures
* Monitor the release of tax updates related to various U.S. reporting and withholding regimes including IGAs with FATCA partner jurisdictions

## Qualifications for asset management compliance

* Thorough knowledge and understanding of, and experience with, the practical application of relevant securities rules and regulations and other applicable regulatory requirements
* Demonstrable experience conducting compliance risk assessments, monitoring and testing
* Practical experience of conducting testing and monitoring reviews specific to investment adviser requirements and alternative investments in an asset management company
* Strong written and verbal communication skills, influencing abilities
* Provides direct support to Senior Managers, Regulatory Compliance
* Perform monitoring of trading activity and 2nd line oversight monitoring of investment restriction monitoring