Downloaded from <https://www.velvetjobs.com/job-descriptions/asset-management-compliance>

# Example of Asset Management Compliance Job Description

Our company is searching for experienced candidates for the position of asset management compliance. To join our growing team, please review the list of responsibilities and qualifications.

## Responsibilities for asset management compliance

* Cross train and provide back up to other members of the Compliance team as required
* Providing backup support to other Executive Assistants in Compliance
* Manage and provide portfolio monitoring support for portfolios trading in the U.K
* Identify, resolve and/or escalate issues in a timely and effective manner
* Work with the Head of International Compliance and the FMRIM (U.K.) Executive Director to coordinate effective coverage of U.K
* Help manage investment related regulatory application process for FMRIM (U.K.) and its employees
* Manage audits and oversea filing of trade/transaction reports and other regulatory filings
* Keep current with relevant U.K
* Partnership with business to further enhance and strengthen the Asia Cross Border framework
* Support Asset Management Compliance officers in the Region on Cross Border related issues, provide oversight and be actively involved in execution when required

## Qualifications for asset management compliance

* 5 years compliance experience in an investment management firm or similar business within the financial services industry
* The ability to stay current on developing regulatory requirements
* Provide compliance approval of staff trading, marketing, cross border activities, gift and entertainment
* Monitor regulatory reporting deadlines, assist with internal reporting
* Complaint handling and reporting
* Assist with drafting and implementing policies, procedures and controls