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# Example of Associate, Compliance Job Description

Our company is looking to fill the role of associate, compliance. To join our growing team, please review the list of responsibilities and qualifications.

## Responsibilities for associate, compliance

* Assist in monitoring of insider trading policies and procedures, including review of investment research and due diligence of research service providers
* Perform transactional, periodic, and forensic testing to assess the adequacy of the program’s policies and procedures
* Conduct review and testing of compliance procedures, including email review
* Drafting and maintaining policies and procedures
* Maintain the Firm's Supervisory Organization Chart, table of Supervisors in the Firm's Written Supervisory Procedures, and employee registration profiles
* Draft and maintain policies, procedures, and training materials to enhance program efficiency, employee understanding, and mitigate related risk
* Assist in the annual review of compliance policies and procedures
* Assist in monitoring and carrying out the implementation of procedures to address new regulatory rules and requirements
* Support the Client Money Monitoring Program by performing reviews of compliance with policies and procedures
* Monitor compliance with the firm’s Code of Ethics and related policies and procedures

## Qualifications for associate, compliance

* Assist with the tracking of regulatory referred complaints and necessary follow ups to appropriate lines of business for draft responses
* 1 year of Operations or Business experience
* Provides administrative support to the Insurance compliance team
* Participate in and provide compliance support for product development, projects and corporate initiatives
* Draft and participate in the presentation of management and board reports on compliance matters
* Assist in coordination of federal and state regulatory examinations conducted by external parties as needed