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# Example of Associate, Compliance Job Description

Our company is looking to fill the role of associate, 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 associate, compliance

* Assist with Form PF, Form ADV, and other regulatory filings
* Reviewing subscription documents for new investors
* Managing assessment of gifts and entertainment activities
* Participate in risk assessment analysis and documentation
* Draft periodic and annual reports documenting compliance reviews
* Maintain compliance calendar and project-manage departmental initiatives
* Assist with the preparation of regulatory filings (e.g., 13D/G, HSR, ADV, PF, CFTC, Blue Sky)
* Review marketing materials, RFPs / DDQs and public communications for compliance with applicable regulatory and company standards
* Participate in due diligence/oversight of firm service providers
* Assist CCO in preparing for and responding to regulatory inquiries and examinations from regulatory bodies

## Qualifications for associate, compliance

* The ability to clearly communicate with various departments within the organization
* Assist CCO in preparing and conducting internal compliance training programs
* Assist in reviewing timely implementation of regulatory changes
* Assist in monitoring timely implementation of action items merging from regulatory exams/reviews
* Facilitate review of adherence to regulatory due diligence requirements in respects of public issues managed by Equity Capital Markets (ECM)
* Tracking compliance with other regulatory requirements applicable to IB and ECM/DCM business