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# Example of Compliance Assistant Job Description

Our company is growing rapidly and is searching for experienced candidates for the position of compliance assistant. 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 compliance assistant

* Producing objective, timely and well-presented monitoring reports and gain approval for distribution to senior management and Directors
* Gaining commitment from the business to address any issues identified
* Liaison with colleagues across internal governance and controls, compliance and audit functions where required
* Interacting and communicating with internal departments such as Legal, Client Relations, Investor Relations, Corporate Development, Accounting, and investment teams external parties such as outside counsel and compliance consultants
* Supervises day-to- day work of subordinates and ensures compliance for assigned block of business, this includes nondiscrimination testing, prototype documentation production and Form 5500 reporting
* Performs duties inherent in a managerial role
* Sets priorities for the team ensuring tasks are completed in a timely manner
* Quality track subordinates work, maintain employee records, analyze and take corrective action to prevent similar errors
* Provide administrative support for CCO and the senior attorneys in the Compliance Department
* Perform all administrative responsibilities including travel arrangements, scanning, copying, faxing, filing, data entry, and various other projects

## Qualifications for compliance assistant

* Retail Banking Expereince is preferred
* Admission and matriculation into a Weber State University graduate program
* NAAC Certification
* Excellent communication skills and the ability to deal confidently and positively with all levels of staff both face to face and over the telephone
* To be a good team player and contributor
* Technical knowledge/understanding of digital environment