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# Example of Compliance Associate Job Description

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

## Responsibilities for compliance associate

* Monitor and maintain compliance reports via advisor’s compliance system
* Assist with assembling compliance reports for CCO to review
* Coordinate fund Board of Director meetings
* Assist CCO in providing compliance guidance and training to employees
* Assist with drafting memos and conducting audits
* Assist with annual compliance review, regulatory audits, investor due diligence reviews and other ad-hoc projects on an as needed basis
* Review marketing materials, DDQs, and RFPs
* Maintain compliance calendar and address current regulatory changes as applicable
* Provide general administrative support to CCO and CAO
* Overseeing Form PF, CPO-PQR and CTA-PR filings, client reporting and questionnaires, and proxy voting

## Qualifications for compliance associate

* Managing the Restricted List
* Annual compliance review, compliance monitoring program, and responding to Compliance questions
* Keeping abreast of regulatory developments which may impact the Firm and ad-hoc compliance projects
* Handle Firm Form BD and related filings with FINRA
* Handle Registered Representative (RRs) registrations, Non-Registered Fingerprint (NRFs) only person filings, and manage the FINRA continuing education process
* Coordinate fingerprint sessions for the RRs and NRFs