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# Example of Compliance Leader Job Description

Our growing company is looking for a compliance leader. Thank you in advance for taking a look at the list of responsibilities and qualifications. We look forward to reviewing your resume.

## Responsibilities for compliance leader

* Designing and implementing the Client Due Diligence Program including creating a client case management system in which all client due diligence information will be managed
* Stay abreast on UL material standards, emerging trends, and industry activities that may impact UTC
* Manages vendor and business partner relationships, such as fire marshal, police , to ensure all local and national laws are complied with in regards to safety and security
* Responsible for the production of services consisting of Level B2 review of Level B1 analysis and supporting document to make a decision to release, block/reject or escalate according to the procedure in place
* Respond to current and future client security inquiries questionnaire and requests for proposals from prospects
* Set clear expectations to ensure team of approximately 8 associates meets position expectations
* Resolve conflicts and escalated situations that may require extensive research
* Ensure the team is continuously meeting expectations and conduct oversight of team's work
* Understand and apply securities laws and rules and firm policies
* Improve team effectiveness through innovation, education, and communication in an ever changing regulatory environment

## Qualifications for compliance leader

* Minimum 3-5 years prior leadership experience required
* Minimum 5 years past successful experience designing and developing learning initiatives with emphasis on performance improvement
* Minimum 2 years past successful experience designing and developing communication initiatives
* Series 7, 63/66, 9, 10, and 24 licenses required or must be obtained within one year of hire
* Strong knowledge of key instructional design concepts and practices, including writing objectives, designing instructional activities that match objectives and ensure transfer to job, writing criterion-referenced test questions
* Strong ability to analyze learning needs of audience and design and deliver a variety of performance improvement initiatives to meet those needs