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# Example of Compliance Operations Job Description

Our company is growing rapidly and is hiring for a compliance operations. To join our growing team, please review the list of responsibilities and qualifications.

## Responsibilities for compliance operations

* Partner with various departments, including Information Systems, Operations, Marketing and Legal to provide timely advice and guidance regarding compliance with federal and state securities laws and regulations, internal policies and procedures
* Manages case aging to obtain a strong balance between timely case closure and detailed, thorough investigations
* Research compliance related topics
* Support QC manager in testing of compliance related items
* Oversee audit, entry and tracking of information on Driver DOT certification including CDL and Med Cards
* Oversee audit, entry and tracking of 7-day recaps, pull notices and pre-trip inspections for all DOT registered vehicles
* Oversee the timely execution and communication of random Driver drug & alcohol testing
* Oversee audit, entry and tracking of information on Studio Tour employee DOSH certification including new hire training, testing and segment training signoffs
* Oversee completion of annual testing and QA within required timelines
* Oversee audit, entry and tracking of daily OCS and Tech Services Green Sheets for Studio Tour

## Qualifications for compliance operations

* Working knowledge of FINRA rules and regulations applicable SEC standards
* Act as the key interface with PO partners at the executive level (P&C PO Canada/US, PCG PO, WBPO, and Asia/Europe) for review and assessing risks and effectiveness of key controls against regulatory requirements within the Business Unit across PO
* Bachelor’s Degree and 3+ years of financial services experience
* Understanding and awareness of legal and regulatory landscape desired
* Service oriented, with the ability to meet deadlines in a fast paced environment
* 1+ years lending compliance experience