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# Example of Compliance Professional Job Description

Our growing company is searching for experienced candidates for the position of compliance professional. 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 professional

* Manage the process of Rule 17A-13 Quarterly Security Counts
* Understand and apply specific regulatory mandates to the day to day operational functions
* Provides technical and analytical support in a GCIB support operations function (clearance/settlement, trade processing, ) for product areas (equities, fixed-income, futures, FX)
* May participate in projects and/or introduction of new initiatives, systems, products/services and processes
* The candidate may review operational procedures and implement changes ensuring enforcement and adherence
* Prepare materials for BGC reporting to regulators and management, including materials for each Bank’s Compliance Committee, Bank Risk Committee, Board Risk Committee, and Board meetings, other types of regular /ad hoc reports, including coordination and collation of information from relevant stakeholders and production of management reports and presentations
* Communicate with Compliance personnel at all levels regarding their submissions, review content for accuracy and consistency, create timelines for each update and ensure that the submissions are complete and fully assembled to meet applicable deadlines
* Provide weekly status reports to teammates across all levels of the organization using system reports ad-hoc reporting, as needed
* ICA Advanced Certificate in Governance, Risk & Compliance which will lead to IBF Level 1 certification
* Provide support to the compliance team in conducting due diligence reviews of third party service providers

## Qualifications for compliance professional

* Assist in the reviews of Sanction Screening and alerts
* An understanding of products, sales, trading, and systems are also required
* Series 7 & other certifications are a plus
* Preferably minimum of two years experience in Compliance with a leading international or a large KSA financial institution
* Legal qualifications are not necessary, but would be an advantage
* Responsible for decisions related to staffing and employee development