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# Example of Compliance Services Job Description

Our company is growing rapidly and is looking to fill the role of compliance services. If you are looking for an exciting place to work, please take a look at the list of qualifications below.

## Responsibilities for compliance services

* Organising an efficient annual review of the content of the BMS site, including sign off by each page owner that their content is up to date
* Checking that all embedded links in the site still function and resolving if necessary
* Maintaining a log of material changes and reflecting these in the Compliance Matrix as necessary
* Obtaining sign-off from the Group IS Divisional FD on behalf of the SLT that the BMS remains fit for purpose
* Logging actions arising from Control Self Assessment, the risk management process, audits by GIA, LRQA, External Audit, and other compliance activity
* Obtaining periodic updates from action owners
* Preparing reports actions which have been closed out or are not being progressed satisfactorily
* Work with Technology to define system enhancements
* Participate in execution of the Monitoring & Surveillance, Registrations & Regulatory Services, Undertake governance & reporting across all CI regulated entities and license holders
* Participate in maintaining strong Regulatory Relationships through appropriate and timely filings and notifications

## Qualifications for compliance services

* Detailed and demonstrated understanding of the investment compliance function across asset owner and asset manager client segments
* Experience with investment compliance software packages required (Charles River, SimCorp, Fidessa)
* Detailed knowledge of asset owner and asset manager regulatory regimes and how they impact compliance monitoring, investment analytics and reporting requirements (40 ACT, UCITS, AIFMD, Solvency II, FRS107, APRA, AASB, PRIIPs)
* Strong analytical skills & highly quantitative background
* Knowledge of financial instruments and characteristics
* Ability to set priorities, manage tight deadlines and multitask