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# Example of Compliance Job Description

Our company is searching for experienced candidates for the position of compliance. If you are looking for an exciting place to work, please take a look at the list of qualifications below.

## Responsibilities for compliance

* Assisting with reviews and surveillance activities, including without limitation email surveillance, pursuant to the Department's Compliance Program and annual Rule 206(4)-7 compliance review
* Developing and conducting ad hoc forensic testing pursuant to the Compliance Program, under supervision of a senior compliance officer
* Assisting Senior Compliance Officers with various other compliance initiatives, as needed
* Provide front and back office guidance on compliance and regulatory requirements pertaining to on boarding clients, risk management, position limits, electronic trading, margin compliance, money movements, hedge exemptions, errors and corrections, position transfers, privately-negotiated trades (Blocks and EFRPs), and cleared OTC activity
* Maintain and update compliance information within channel management systems
* Coordinating and responding to regulatory and/or compliance examinations conducted by internal or external parties
* Assisting with a variety of regulatory and client reporting efforts, including monthly reporting to clients regulated by the Investment Company Act of 1940, under supervision of a senior compliance officer
* Assisting with the tracking and maintenance of employee securities licenses and several compliance requirements relating to the adviser's limited purpose broker-dealer
* Work with the Compliance Surveillance Team to enhance the Surveillance Program and improve existing surveillance program
* Serves as a backup for compliance monitoring of timely reviews of potential violations of investment guidelines

## Qualifications for compliance

* Strong background in conducting compliance work related to regulatory matters
* Provide business and technical expertise in developing/performing data analysis and reporting in an Access, Excel or PowerPoint environment(s), to support standard/ad hoc reporting
* Monitor electronic communications to ensure compliance with company policy, SEC and FINRA rules and regulations
* Ability to travel 35% (mostly regional)
* Bachelor’s degree and/or 8-10 years of Accounts Payable and five+ years of management experience
* Experience with accounts payable processes within a large ERP A/P system (SAP preferred)