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# Example of Compliance Job Description

Our growing company is looking to fill the role of compliance. We appreciate you taking the time to review the list of qualifications and to apply for the position. If you don’t fill all of the qualifications, you may still be considered depending on your level of experience.

## Responsibilities for compliance

* Act as person in charge for each business unit to have the latest update to maintain and preserve the accuracy of Compliance Database so that the Compliance Database will always indicate the latest fact
* To provide trainings to all employees in order to enhance the awareness of the employees upon the implementation of compliance matters upon the applicable laws in Indonesia and any internal company policies
* Develop, plan and perform compliance testing and inspections of materials, process and/or products that independently evaluate the adequacy, comprehensiveness and effectiveness of AML, privacy, record management, training and compliance monitoring and testing functions
* Testing potential guideline rules and proposed enhancements to the proprietary compliance restriction system to ensure accuracy before implementation
* Assisting Client Service and Client Accounting departments by helping resolve and communicate to clients regarding any compliance-related issues
* Performing daily compliance exceptions monitoring by analyzing and validating exceptions
* Preparing customized monthly, quarterly client and mutual fund compliance reports
* To communicate the company’s compliance related policy and regulatory requirements to all of the companies including all of the employees
* Act as contact point with governmental institutions in relation with compliance matters
* To provide necessary information for compliance matters in relation with the government for general provisions

## Qualifications for compliance

* 3+ years Compliance experience with a Registered Investment Advisor or Broker Dealer
* Advanced knowledge of consumer privacy regulations
* Research ability and interest in the political aspects of broadcast regulation
* Must be computer savvy (MS Office Suite)
* Working with in-house counsel to monitor and implement responses to regulatory actions that impact the funds
* Fluent in both English and Chinese is a must