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# Example of Control & Compliance Job Description

Our innovative and growing company is hiring for a control & compliance. If you are looking for an exciting place to work, please take a look at the list of qualifications below.

## Responsibilities for control & compliance

* Produce exception reports showing
* Produced Monthly IBGCC reports for Head of MIB Compliance
* Meet key stakeholder expectations by provide advice and support to the Conflicts Project Team as the subject matter expert across Conflicts
* Meet Compliance Management expectations by providing ad-hoc support across a number of piece of work around MI and upstream reporting
* A key part of the role is in the management of risks relating to conflicts of interest, regulatory and compliance
* Actively consider the inherent, material risks of the business/organisation
* Establish and deploy robust risk and control frameworks which meet the strategic needs of the Group, including communication, training and awareness
* Provide expert support and advice to the business on risk management
* Conduct suitable assurance to ensure 1st line compliance with policies/responsibilities
* Provide senior executive with relevant management information and reports and escalate concerns where appropriate

## Qualifications for control & compliance

* At least 5 years of exprience in compliance and/or securities background
* Good understanding of US securities laws and HK and Singapore Takeover Panel rules
* Excellent organizational skills, able to prioritise daily tasks with project work ad hoc requests
* Professional (CA, CMA & CS) with 5 years of experience
* Compliance or legal-related experience in financial services industry preferred
* At least 4 years of relevant work experience in Control Group compliance preferably with a global financial services company or with a securities exchange or securities regulator