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# Example of Director, Compliance Job Description

Our growing company is hiring for a director, compliance. To join our growing team, please review the list of responsibilities and qualifications.

## Responsibilities for director, compliance

* Represent the company in various industry forums and working groups
* Acquire and retain necessary industry certifications
* Establishing, implementing and managing the infrastructure to support a system-wide Compliance Program
* Overseeing and administrating the Compliance HelpLine, Station Check process and Conflict of Interest disclosure process
* Participating in and directing (under the supervision of the CCO) compliance risk assessments and GAP analyses
* Coordinating with outside counsel and external auditors and consultants
* Coordinating compliance-related activities across all St
* Managing the daily operations of the Compliance Department and working closely with other Departments, including HIM, HR, Finance, and IT to ensure operations of those areas remain compliant
* Serving as a liaison to the Board (including the Audit and Compliance Committee) as directed by the CCO
* Developing and maintaining practical Compliance Program policies and procedures

## Qualifications for director, compliance

* English level of the role would be business fluent
* 10+ years of auditing or testing experience, ideally with a regulator, Big 4 firm or in a large financial services institution
* Ability to exercise sound judgment and escalate issues appropriately
* Strong knowledge of the federal securities laws
* Experience with written correspondence, letters, and memos
* Experience with ARMS recruiting software system and Banner