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# Example of Global Compliance Operations Job Description

Our growing company is searching for experienced candidates for the position of global compliance operations. Thank you in advance for taking a look at the list of responsibilities and qualifications. We look forward to reviewing your resume.

## Responsibilities for global compliance operations

* Establish and maintain partnerships with various teams including GFCC Investigation units, Technology, Alert teams, Coverage Strategy and within Compliance Operations – across regions, to maximize efficiencies and ensure consistency
* Documenting the current operating environment, identifying areas for improved efficiencies and internal controls, , working with senior team members to implement the strategic operating environment and technology infrastructure
* Correspond with customers as required by and in conformity with FINRA regulations and SEC rulings
* Review all complaint filings on behalf of JPMS, Private Bank and the Investment Bank
* Perform Daily Peer Reviews of intake cases logged
* Consolidate complaints against Operation (Broker Service Center) RRs and send to Market Directors
* Identify sales practice concerns and refer matters when appropriate to the firm's Risk, Examination and/or Surveillance Groups for possible corrective and/or disciplinary action
* Review and reconciliation of employee pre-cleared transactions vs
* Respond to regulatory, audit or control–related inquiries from business partners or management
* Collect and document data, including alert, investigation, or SAR history

## Qualifications for global compliance operations

* Effective management skills - must be able to manage up, across and down the organization
* A working knowledge of the Regulatory requirements (SEC 13F/G Reg
* Comfortable user of Microsoft Office
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* Strong presence with Business partners
* Familiarity with complex legal and regulatory issues