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# Example of Investment Compliance Job Description

Our innovative and growing company is searching for experienced candidates for the position of investment compliance. Please review the list of responsibilities and qualifications. While this is our ideal list, we will consider candidates that do not necessarily have all of the qualifications, but have sufficient experience and talent.

## Responsibilities for investment compliance

* Assisting in the maintenance and quality assurance of the investment compliance processes
* Tertiary qualifications in Business, Finance, Economics or Law or alternatively studying part-time in one of these fields
* A tertiary qualification in Law, Commerce or a related discipline
* At least twelve years of relevant compliance, regulatory, legal or risk management experience gained within financial services
* Providing compliance advisory to the equities business
* Providing training on new rules and regulations that are impacting the business
* Implementing new policies and procedures and working together with other team including risk management and legal
* Participating in projects such as Dodd-Frank
* Handling regulatory inquiries and examinations
* Where gaps or discrepancies arise escalating these to your Manager

## Qualifications for investment compliance

* Participate and/or assist in the coordination of compliance efforts with regulatory examiners, such as the SEC and the Federal Reserve, and internal and external auditors
* Ensure the proper preparation and filing of Form ADV and other regulatory filings
* Monitor, disseminate and implement applicable regulatory changes
* Consult and guide the RIAs in the PCG U.S. Group in the establishment of controls to mitigate risks
* Proactively participate in the development or revision of corporate policies and procedures as they relate to regulatory requirements
* Review and provide sound regulatory guidance and insight on marketing material