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# Example of Investment Compliance Job Description

Our growing company is searching for experienced candidates for the position of investment compliance. To join our growing team, please review the list of responsibilities and qualifications.

## Responsibilities for investment compliance

* Advise clients on the impacts of relevant regulatory developments on their activities
* Guidance and advise on Fund set-up area
* Supervise junior team members on various assignments
* Maintain excellent relations with existing clients developing new long-term relationships with compliance officers and other external parties
* Work alongside recognised experts
* Manage the relevant Permanent Supervision (PS) and other controls within the compliance team, including driving a process of continuous improvement (and simplification where possible) of existing compliance procedures and controls introducing new and adapted procedures and controls where appropriate
* Develop and deliver appropriate regulatory training for the business line using one-to-one or classroom methodologies
* Updating the IBCR’s record keeping systems
* Clear the Investment Research against the Watchlist and Restricted list and maintain the input of conflicts of interest data into Investment Research systems, including for regulatory disclosures
* Maintain Chinese wall and Chinese wall crossing procedures, and ensure that wall crossing requests are actively and promptly handled by the Control Room Team

## Qualifications for investment compliance

* 3-5 years brokerage and advisory compliance experience
* Thorough knowledge and understanding of all compliance and regulatory requirements
* Undertakes the resolution of compliance issues and advises the line of business
* University degree in relevant field including finance, business or legal
* At least 3 to 5 years of experience in equities compliance and a strong knowledge in equities products across the APAC market
* Understand the local regulations in Hong Kong and some knowledge of regulations for other countries in APAC