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# Example of Leader Compliance Job Description

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

## Responsibilities for leader compliance

* Attract, develop, and retain talent so that the department is adequately and professionally staffed for future growth
* Effectively utilize firm resources, especially in relation to people, technology, money, and time
* Collaborate and partner with leadership and other business area's to ensure appropriate compliance support is integrated into firm projects and initiatives
* Continually develop and tailor solutions to various audiences in a fast-paced autonomous environment while quickly identifying branch, associates and other departments needs and providing proper solutions that align to compliance laws and regulations
* Facilitate Business Process Improvement projects (under Black Belt Guidance) using Lean Six Sigma discipline and includes the coaching, coordination, and management of projects across the department
* Manage the evaluation of business issues, both internally and externally (Federal / State / Other Governmental Regulations) and develop compensation solutions in support of stakeholders needs
* Accountable for ensuring continuity and successful delivery of required audits and evaluations to ensure compliance with city, statutory and national legislative changes impacting compensation
* Creating/reviewing ad-hoc analyses of compliance, identifying trends and recommending appropriate actions
* Manage analyses, auditing and ensuring regulatory/legal compliance on matters related to compensation
* Manage 1 analyst

## Qualifications for leader compliance

* BA/BS degree or educational equivalent
* Travel throughout the region and the US will be required about 30-40% of the time
* Law degree or CPA, CFA, CLU, FLMI designation a plus
* A minimum of 7 years related securities/compliance background within insurance, investment banking/asset management
* Bachelor's degree required and Master's degree strongly preferred in a training-related field such as adult education, instructional technology, business or psychology
* Technical Knowledge- Strong grasp of code of conduct, business ethics policies and current compliance practices and industry standards in a relevant services space