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# Example of Manager, Compliance Job Description

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

## Responsibilities for manager, compliance

* Provide advice and guidance in relation to the business through the consideration of both local regulations and Group standards
* Work with relevant departments to maintain a portal of current company policies
* Set up control framework in accordance with China SOX requirements
* Promote internal control awareness and culture
* Support in operational audits activities
* Execute the established Compliance Monitoring Program
* Undertake AML KYC support activities for primary client on-boarding TA related investor take on
* Provide reporting to local CEO, CMC, Board of Directors and to the group function to the parameters and deadlines imposed
* Provide advice and direction to management andline staff on regulatory issues arising
* Be the regulatory liaison point and promote positive regulatory relations

## Qualifications for manager, compliance

* More than ten years of working experience in auditing, internal control or managing compliance activities in an MNC
* Proficient in MS Office, familiar with ERP accounting module (SAP) as a functional end user
* Degree and / or relevant professional qualification and / or significant relevant consulting or industry experience
* Experience in the regulatory/compliance environment in the Financial Services sector
* Thorough working knowledge of the regulatory framework including the FCA Handbook and Data Protection Act
* Experience in developing and managing risk based compliance monitoring plans