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# Example of Regional Compliance Job Description

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

## Responsibilities for regional compliance

* Act as a Compliance representative responsible for the review and assessment of exception requests and providing recommendations to Business and Compliance leaders as appropriate
* Provide CCO, Director Advisory and Compliant Management, and Compliance partners with recommendations regarding policy, training opportunities, Communicaton strategies utilizing feedback
* Ensure all Service Level Agreements for Advisory and Complaints are maintained
* Assist with the design, development, and facilitation of Compliance Communication and Training material
* Project manage CB Asia-wide regulatory, governance or control related rollouts (including but not limited to FATCA and CRS)
* Set up project governance structure, identify committee members, engage stakeholders, prioritize work-streams, run steering committees, organize working groups and ensure proper project administration
* Liaise with central PMO or global project teams on behalf of CB Asia
* Liaises with a number of teams across the business on AML compliance related issues
* Responsible for Compliance matters as the “one stop shop” for business units and local regulators
* Evolve the organisation and control environment of Regulatory Compliance

## Qualifications for regional compliance

* Monitor emerging regulatory trends and new legislation impacting the company's investment activities both at group and across operating local business entities and work with regulatory team to ensure impact is properly assessed and implementation properly tracked and reported
* Participate in pre-appointment review / due diligence of adequacy and effectiveness of compliance functions of external Investment Managers ("IM") and provide recommendation in the selection process
* Assist in development and roll-out of an investment monitoring and testing program for reviewing compliance with both internal and external requirements which include monitoring and reporting of substantial shareholding, portfolio compliance monitoring
* Independent and strong self-initiative
* Bachelor Degree with minimum 2-3 years’ experience in Commercial Banking
* Good organisation and analytical skills with a keen eye for detail