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# Example of VP, Compliance Job Description

Our innovative and growing company is looking to fill the role of VP, compliance. We appreciate you taking the time to review the list of qualifications and to apply for the position. If you don’t fill all of the qualifications, you may still be considered depending on your level of experience.

## Responsibilities for VP, compliance

* Revision/update business compliance manuals
* Assist with various regulatory inquiries
* Assist with identifying regulatory requirements for new business/new products
* Assist with ad hoc transaction related questions
* Licensing - Advising and assisting the business units with all licensing queries and requests
* Assist in dealing with regulatory inspections and internal/external audits, any ad-hoc regulatory inquiries
* Compliance advisory and support to the wealth management business in Hong Kong
* Conduct compliance monitoring and compliance training
* Support the wealth management business lines and oversee their monitoring and review
* Conduct periodic review and ad hoc reports

## Qualifications for VP, compliance

* Display critical thinking, look to understand and address secondary risks and issues not necessarily related to the primary task
* Self starter, with team management experience, capabilities
* NY State Healthcare experience
* Strong understanding of NY compliance laws and regulations
* To be a qualified candidate, Bachelor or Master Degree from Law School, Chinese lawyer qualification certificate, or Certified Public Accountant is needed
* As well, you need to have 5 years' working experience in guarantee or financial sector in legal/compliance filed, of which 3 years in compliance manager position