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# Example of Wealth Management Compliance Job Description

Our innovative and growing company is looking to fill the role of wealth management compliance. To join our growing team, please review the list of responsibilities and qualifications.

## Responsibilities for wealth management compliance

* Develop new surveillance reports and systems with IT and PWM Management
* As part of the investigation process, identify compliance risk and control gaps and communicate findings to management
* Leading and developing a team of compliance professionals
* Ensuring successful delivery of compliance plans and the accurate, timely and expert level advice to your team and stakeholders
* Drafting, reviewing, updating and implementing policies, procedures and standards as required
* Managing and delivering on compliance projects and investigations as required
* Working with other internal compliance teams to ensure effective compliance monitoring, surveillance and assurance and the identification, reporting and resolution of compliance incidents and breaches
* Evaluating existing surveillance models and scenarios
* Identify and document needs from the various WM Compliance teams, including Surveillance (Field, Capital Markets, Investment Advisory), Inspections (Branch Exams, Operations Testing, non-branch OSJs, Targeted Assessments), Field Compliance (Registration, Regional Compliance Officers)
* Design risk-based solutions based on a consultative process involving the WM Compliance users, IT, Global Compliance partners and other stakeholders

## Qualifications for wealth management compliance

* Strong analytical, problem-solving and presentation skills, including the ability to distill complex issues and information into concise and meaningful messages
* Superior knowledge of standard office environment technology applications
* Good understanding of the regulatory framework for the private client business, and products
* Experience in surveillance, operational flow of products and system knowledge is an advantage
* Energetic, attentive to detail and capable of multi-tasking in a fast-paced environment
* Candidates must have excellent interpersonal skills and the ability to work effectively in a team-oriented setting, prioritize projects to meet tight deadlines