Downloaded from <https://www.velvetjobs.com/job-descriptions/wealth-management-compliance>

# Example of Wealth Management Compliance Job Description

Our company is hiring for a wealth management compliance. If you are looking for an exciting place to work, please take a look at the list of qualifications below.

## Responsibilities for wealth management compliance

* Maintaining a thorough and up to date understanding of investment adviser and mutual funds investment management regulatory requirements, including front office, operations and fund accounting
* Acting as the GPS Business Line Advisory
* Representing Compliance to the business and providing advice in regards to regulations and compliance related matters across all WM product lines
* Providing impact analysis and assisting with practical solutions as a result of requirements arising from the implementation of FCA Regulations, European Union Directives and other regulatory developments, in respect of new and existing products
* Advising on regulatory changes to ensure WM policies and procedures can be updated on a timely basis
* Providing training to the WM businesses on compliance, regulatory and reputational risks as related to products, trading, client services and other subjects
* Providing 1-2-1 Compliance training to individuals newly FCA registered in order to advise retail clients
* Preparing Marketing Materials and Transactions
* Reviewing and approving marketing material/financial promotions/client communications
* Liaising closely with Business Lines Advisory and Berlin Compliance to ensure financial promotions relating to products meet global regulatory requirements

## Qualifications for wealth management compliance

* At least 10 years' experience in AML/Compliance/Client on boarding in wealth management - ideally
* 3+ years’ compliance or other relevant financial services experience
* Good product knowledge and trading strategies used by PWM, structured products, alternative investments, derivatives
* At least 8-10 years of relevant experience in a Legal, Compliance/Regulatory role in a private banking or asset management capacity
* Good working knowledge of Singapore regulations
* A team player who is able to interact with other control functions to deliver on goals and objectives