



# Example of Asset Management Compliance Job Description

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Our company is searching for experienced candidates for the position of asset management compliance. To join our growing team, please review the list of responsibilities and qualifications.

## Responsibilities for asset management compliance

- Cross train and provide back up to other members of the Compliance team as required
- Providing backup support to other Executive Assistants in Compliance
- Manage and provide portfolio monitoring support for portfolios trading in the U.K
- Identify, resolve and/or escalate issues in a timely and effective manner
- Work with the Head of International Compliance and the FMRIM (U.K.) Executive Director to coordinate effective coverage of U.K
- Help manage investment related regulatory application process for FMRIM (U.K.) and its employees
- Manage audits and oversea filing of trade/transaction reports and other regulatory filings
- Keep current with relevant U.K
- Partnership with business to further enhance and strengthen the Asia Cross Border framework
- Support Asset Management Compliance officers in the Region on Cross Border related issues, provide oversight and be actively involved in execution when required

## Qualifications for asset management compliance

- 5 years compliance experience in an investment management firm or similar

- Provide compliance approval of staff trading, marketing, cross border activities, gift and entertainment
- Monitor regulatory reporting deadlines, assist with internal reporting
- Complaint handling and reporting
- Assist with drafting and implementing policies, procedures and controls