



Example of Compliance Analyst Job Description

Powered by www.VelvetJobs.com

Our innovative and growing company is searching for experienced candidates for the position of compliance analyst. Thank you in advance for taking a look at the list of responsibilities and qualifications. We look forward to reviewing your resume.

Responsibilities for compliance analyst

- Working with other member of the compliance team to ensure that compliance documents
 - Working with firm's compliance regarding firm wide compliance issues and projects
 - Participate in periodic and annual Compliance Training program and annual compliance attestations
 - Assist with general compliance projects that arise from the RMG compliance oversight activities
 - Complete general compliance reporting and ad hoc compliance tasks
 - Maintain the Firm's restricted list and watch list to ensure compliance with insider trading laws
 - Assess potential areas of compliance vulnerability through regular compliance risk assessments
 - Coordinate with key stakeholders in departments that have responsibility for compliance programs relating to their respective areas of expertise to ensure departments are fulfilling compliance responsibilities (including Legal, Finance, Human Resources, Labor Relations, Environmental, Health and Safety, Information Technologies, and Procurement)
 - Testing compliance processes, including review of employee political contributions and performance information in marketing presentations
 - Collaborating with compliance staff to support the firm's business units
-

- Knowledge or experience with SEC Form PF, CFTC Form PQR, FINRA Form U4, and U5 is a plus
- Responding to “know your client” (“KYC”) requests in connection with fund investments
- Assisting in maintaining database of legal documents
- Assisting in coordination and tracking of fund amendments
- Providing other assistance as needed to consulting staff and executive management
- Designing and reviewing automated compliance monitoring reports