



Example of Compliance Analyst Job Description

Powered by www.VelvetJobs.com

Our 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

- Assist in overseeing the compliance program for hedge fund advisor
- Assist in maintaining of compliance calendar
- Testing adequacy and effectiveness of the firm's Compliance Policies and Procedures
- Recommending enhancements to the firm's current Compliance Testing Program
- Assisting in the testing and implementation of compliance technology systems, including trade surveillance, investment guideline monitoring, and position monitoring
- Assisting in updating the firm's Compliance Policies and Procedures Manual (as needed)
- Participate in Annual Compliance Reviews
- Assist with updates to compliance policies and procedures where required
- Maintain compliance books and records and registers to a high standard
- Provide compliance support to operational risk audits and risk reviews as required

Qualifications for compliance analyst

- Examination experience with a state or federal regulatory agency
- Series 24 required, Series 7, 63 and 65 (or 66) preferred
- Series 7, 24 (required) , 63 and 65 (or 66) preferred
- Review and maintenance of firm's Restricted List

