Our growing company is hiring for a 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

- Oversee the completion of the online annual compliance meeting and annual CE courses
- Assist other members of the Compliance Department and work on adhoc projects where necessary
- Oversee day-to-day management of IA Compliance Program
- Help limit REIT's regulatory and reputation risk and reinforce the firm's culture of compliance
- Interact with the BD Compliance team
- Liaise with General Counsel and Chief Compliance Officer to administer and implement policies and procedures
- Review employee e-mails, employee personal trading and brokerage accounts (and administration of automated compliance system)
- Train new and current employees on industry rules and the Firm's compliance with particular areas that relate to their roles
- Administer compliance aspects of onboarding Vendors who provide research, consulting, brokerage and other services
- Manage compliance related inquiries and issues, ensuring managers, resources, suppliers and Program Office obtain an answer to address training courses adequately

## Qualifications for compliance analyst

- Email copies of approved OBA requests to Registrations group

- Provides fast, responsive, expert technical plan document support and may consult with clients, Pension Offices, Partners and operation areas in matters affecting prototypes, volume submitter and individually designed plans, services, and plan design
- Provides fast and responsive technical assistance to the Installation Services and Administrative units in non-routine installation situations
- Assists Client Relationship Managers in determining technical acceptability and identifying business risks associated with plan changes
- Undertakes plan research relating to specific client situations