



# Example of Compliance Analyst Job Description

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Our company is growing rapidly and is searching for experienced candidates for the position of compliance analyst. If you are looking for an exciting place to work, please take a look at the list of qualifications below.

## Responsibilities for compliance analyst

- TLL compliance reporting oversight / ownership
- Quarterly review of compliance training courses status for the CWM Program Office members, including reporting and filing
- Responsible for compliance training tracking/reporting for ERM resources
- Responsible for compliance training escalations
- Monitoring and assessing the impact of all relevant regulatory developments, especially in relation to AML, financial crime and sanction regulation, and making business areas aware of the measures that need to be taken in order to ensure compliance
- Providing training to staff on anti-money laundering and financial sanctions requirements and other compliance subjects as considered necessary market abuse, conflicts of interest
- Gain a thorough understanding of the Company's businesses, culture and values and use that knowledge to help maintain an effective compliance program
- Champion the Company's values as the foundation for the compliance program
- Monitor regulatory changes and trends in key risk areas to ensure compliance with legal requirements
- Align compliance policies and procedures to address the most significant risks to the Company

## Qualifications for compliance analyst

- Outstanding reputation of professional integrity and potential to be personally credible
- Strong interpersonal, business writing and organizational skills with ability to prioritize duties
- Ability to clearly articulate opinions and to influence
- Interface directly with Investment Professionals in a fast paced environment
- Conduct routine, targeted, and ad hoc testing / surveillance