Example of Compliance Associate Job Description

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Our innovative and growing company is looking to fill the role of compliance associate. To join our growing team, please review the list of responsibilities and qualifications.

Responsibilities for compliance associate

- Monitoring regulatory changes associated with CFTC and NFA, ensuring communication of new requirements and assisting the business and infrastructure areas in revising policy and process to meet new regulatory requirements, as appropriate
- Working with and providing advice to the adviser's account-opening group on know-your-customer and related issues
- Monitoring activities relating to the adviser's Code of Ethics, and its policies relating to Political Contributions, Personal Trading, Lobbyist Registration and Gifts & Entertainment
- Assisting with the Department's review of marketing material for use in the retail, institutional and alternative investments client channels
- Day to code of ethics
- Assist with the Firm’s compliance monitoring program globally including performing day to day administrative tasks such as data gathering, file maintenance, internal and external correspondence and other compliance program administrative duties as may be necessary
- Assist in the Firm’s regulatory filing obligations and in preparation for and response to regulatory inquiries from federal, state or local governments or regulatory bodies
- Generate and maintain various required records
- Manage the Firm’s books and records archives
- Attend and take minutes of the Firm’s Compliance Committee meetings

- Assist with the Firm's reporting to '40 Act clients
- Review portfolio positions to monitor compliance with global beneficial ownership reporting
- Assist with the preparation and review of beneficial ownership reports for global short and long position reporting
- Assist in performance and review of investment adviser forensic tests
- Assist in Code of Ethics related processes including monitoring of personal trading restrictions and gifts & entertainment
- Assist with regulatory reporting to the SEC, NFA, CFTC and other regulatory bodies