



# Example of Compliance Division Job Description

Powered by [www.VelvetJobs.com](http://www.VelvetJobs.com)

Our growing company is hiring for a compliance division. 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 division

- Collect reports on the Action Programs, Practical Plans, and conduct necessary action (including reporting to/sharing information with the related divisions)
  - Check documents related to internal audit
  - Understand the offices' situation at the meetings with the regional coordination division held on a regular and ad-hoc basis
  - To assist Investment Banking Division (IBD) Compliance and provide compliance advice to IBD, this will include providing compliance input for transactional matters and other general subject matters such as CB, registration
  - Controls/Surveillance/Testing
  - Understand e-trading systems, strategies and market structures to identify risks
  - Provide technical expertise to implement automated controls to manage operational, financial and regulatory risks
  - Provide thought leadership to review, analyze impact of and implement controls for new e-trading regulatory requirements (e.g., MiFID II, FX Code of Conduct)
  - Work across electronic trading/ sales desks, strats and technology groups to provide technical Compliance support
  - Coordinate, recommend, and execute plans to address potential risks, fulfill regulatory obligations and promote leading control practices
-

- Similar experience in financial services, preferably in Japanese financial institutions
- Good understanding of compliance regulations in the securities space, especially Equities
- Demonstrable FICC compliance experience
- Strong knowledge of Dodd Frank requirements
- Solid Compliance experience in Futures, including FCM regulations, financial and physical commodities trading
- University degree holder/relevant professional or industry qualification