Our company is looking to fill the role of compliance division. If you are looking for an exciting place to work, please take a look at the list of qualifications below.

Responsibilities for compliance division

- Assist with the creation of monthly management reports for presentation to business and compliance senior management
- Preparation of materials and information related to internal investigations, regulatory inquiries and internal and external audits and inspections
- Perform ad hoc and regular testing of the compliance control framework of the Investment Banking business
- Perform ad hoc tasks in support of the Control Room which may include facilitating wall crossings from initial request to the resumption of normal duties, maintenance and administration of systems used for maintaining Watch and Restricted Lists, restrictions of staff trading and recording of wall crossings
- Excellent teamwork, organizational, verbal and written communication skills
- Attention to detail and rigorous but routine processing
- Investment banking, broker-dealer and securities background or studies
- Knowledge of or legal education in securities laws/financial markets
- An appreciation of the fundamentals of a strong risk culture
- Provide advice in real time to the Private Wealth Management business on compliance, regulatory, policy and reputational issues, on new business initiatives and significant business changes affecting PWM, including on product suitability, client background and suitability assessment and risk profile evaluations

Qualifications for compliance division

- Minimum 15 years of experience, preferably in the financial services, broker dealer/securities industry
- Educational background in Finance and computer science is preferred
- Working knowledge of programming languages (C/C++, Java)
- At least 3+ years of relevant work experience, preferably in Capital Markets technology, trading or risk management
- Good drafting ability