



# Example of Compliance Division Job Description

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Our company is looking 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

- Ensure that appropriate policies and procedures are in place for PWM
  - Test and monitor controls, surveillances and procedures to assess effectiveness in ensuring adherence to laws, regulations and firm policies and procedures
  - Develop effective and collaborative working relationships with GHSC-PSM and SCS staff and continually promotes outstanding client service
  - Closely collaborate with the GHSC-PSM IDIQ PMU Managing Director and the SCS Senior Vice President (SVP) on GHSC-PSM prime contract financial management best practices and risk mitigation strategies and approaches
  - Work closely with GHSC-PSM Finance and SCS Finance teams to ensure compliance with contract financial reporting requirements, coordination and process improvement
  - Lead reforecasting for subcontractor costs using level of effort (LOE) and recruitment updates, and subcontractor pipelines
  - Prepare documentation and backup for letter of credit (LOC) drawdowns, manages drawdowns, and liaises with Cash Management on drawdown information submission and administration
  - Ensure accuracy of re-forecasts for GHSC-PSM HQ budget and support to ensure accuracy of re-forecasts for country budgets
  - Oversee updates to the subcontractor dashboard and subcontractor headcount spreadsheet
  - Lead invoice review and corrections for GHSC-PSM HQ invoice
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- Must be a proactive team player with a strong sense of urgency and ability to get along with others
- Must be comfortable working with colleagues in different geographic regions and time zones
- Two years of experience in either a compliance role or working at an investment bank
- Minimum of 3 to 5 years of experience working in an audit, compliance testing, or similar role at a large commercial or investment bank, or in an examination capacity with a regulatory agency
- A thorough understanding of economic sanctions and anti-money laundering laws and regulations
- Minimum of 7 years of experience working in an audit, compliance testing, or similar role at a large commercial or investment bank, or in an examination capacity with a regulatory agency