



Example of Compliance Head Job Description

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Our innovative and growing company is looking for a compliance head. 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 head

- Organize and minute the meetings of (i) the Board of Directors, (ii) the Audit, Risk and Compliance Committee, (iii) any other committee of the Board, (iv) the Annual General Meeting
- Follow up applicable regulation and guidelines with regard to corporate governance
- Follow up use of company seal
- Liaise with Group's Legal with regard to requirements from the Irish Companies Act
- Follow up Actions & Decisions Log of the different meetings
- Follow up implementation and maintenance of the Fitness & Probity Standards
- Ensure and/or follow up the filing of corporate documents, director declarations, Financial Statements
- Provide input to the CoSec of the Asset Management when required
- Follow up the Group Group-wide Corporate Governance Database
- Performing annual compliance testing for NTAM registered investment advisers and investment companies under Rule 206(4)-7 of the Advisers Act of 1940 and Rule 38(a)-1 of the 1940 Investment Company Act of 1940

Qualifications for compliance head

- Consulting/Advising
- You will have at least 8 years' experience in management of compliance

- You will have in-depth knowledge of regulatory compliance requirements from the financial services sector
- You will also have strong communication and negotiation skills with the ability to engage with stakeholders across all levels of seniority
- Good candidate will be highly motivated, results-oriented and resourceful with the ability to work in a fast-paced dynamic environment
- Drive Leadership engagement and compliance culture through effective partnership