



Example of Compliance Management Job Description

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Our growing company is searching for experienced candidates for the position of compliance management. To join our growing team, please review the list of responsibilities and qualifications.

Responsibilities for compliance management

- Provide compliance advice on regulatory matters and compliance risk
- Prepare Compliance Bulletins to inform Wealth Management personnel
- Aid in development/modification of regulatory compliance training requirements and materials as part of the firm's training programs
- Assist in tracking and monitoring the required training for all retail broker/dealer personnel
- Participate on projects and other responsibilities, as deemed required
- Provide written commentary on outstanding open issues
- Identify and escalate open issues that represent risk
- Build a strong relationship with the client, understanding their needs and business operations
- Providing compliance advice with regard to the applicable rules and regulations of private wealth management from a Hong Kong perspective, or as it impacts the Hong Kong business
- Providing compliance advice on internal compliance standards, policies and procedures such as in respect of suitability, cross-border matters, etc

Qualifications for compliance management

- Team player and a problem solver
- Strong knowledge of SFC rules and regulations applicable to investment management business [e.g
- Ability to co-ordinate with different parties in compliance project

- Detailed knowledge of the Volcker Rule and its application to the WM industry
- Strong ability to plan and organize own workload as evidenced by track record of delivering results on time and to a high degree of accuracy