



Example of Compliance Management Job Description

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Our innovative and growing company is hiring for a compliance management. If you are looking for an exciting place to work, please take a look at the list of qualifications below.

Responsibilities for compliance management

- Reviewing and assessing all new alerts, circulars and other regulatory notifications that impact PWM and ensuring that the necessary business and Compliance divisions are aware of the likely impact
- Assessing new requests for outsourcing and insourcing that impact PWM, including liaison with senior Compliance and Business Management
- Tracking any annual surveys and reviews required for regulators as it pertains to the PWM business
- Participating in any appropriate regional and/or global compliance group calls that determine strategies and priorities for Compliance
- Developing relationships with the relevant Infrastructure functions that support the PWM business, providing ad hoc training on relevant procedures that impact PWM, as required
- Providing induction training to new joiners in PWM within the first 4 weeks of them joining the team and ensuring relevant records are updated
- Liaising regularly with relevant businesses, other Compliance and other colleagues to remain abreast of developments
- Working with Legal, Compliance and other Risk functions in responding to SFC, HKMA and other regulatory enquiries, as required
- Providing Compliance interface to the business for new projects on an as and when required basis
- Liaising with AML colleagues on high risk or equivalent escalations

Qualifications for compliance management

- Financial services experience strongly preferred, especially in wealth management
- 5+ years of experience in broker/dealer regulatory compliance required
- Working knowledge of Microsoft Office products, including Excel, Access, Word, and PowerPoint
- Ability to work well with people and under pressure
- The successful Compliance Advisory will be an experienced Legal/Compliance professional with in-depth knowledge of the asset management industry
- A strong understanding of regulations relating to the establishment and ongoing maintenance of Irish investment fund structures and management companies is essential along with the ability to demonstrate success partnering with senior management in pragmatic decision making and presenting at board level