



Example of Compliance Management Job Description

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Our company is growing rapidly and is looking to fill the role of compliance management. To join our growing team, please review the list of responsibilities and qualifications.

Responsibilities for compliance management

- Review customer/account activity for potential money laundering and/or terrorist financing related activities
- Preparation of SARs within regulatory timeframes
- Prepare statistical reports as needed or requested
- Prepare documents requested by Law Enforcement, related to Suspicious Activity Report (SAR) filings
- Assist in preparation of management reports
- Assist in the disposition of potential OFAC matches
- Assist in preparation for regulatory examinations
- Flexibility to perform other functions as requested by management
- Relationship liaison and subject matter expert for the compliance surveillance system and all related data vendors including BNY Mellon, Reuters, Barclays, and Bloomberg
- Establish, test and implement complex investment restrictions and guidelines in the compliance surveillance system

Qualifications for compliance management

- Legal qualification would be an advantage
- Management reporting and driving of the Governance framework
- Previous Compliance experience - ideally within a Banking / Asset Management firm or Big 4 Consulting business with an understanding of Fund Services, Asset Management, Custody

- Bachelor's Degree preferred in Business, Finance, Accounting or Economics combined with at least 2 years finance industry experience
- Knowledge of securities and financial instruments