Our growing company is looking for a compliance management. To join our growing team, please review the list of responsibilities and qualifications.

Responsibilities for compliance management

- Maintain data integrity by updating complex security master files and resolving missing, incomplete or erroneous data elements with data providers
- Develop and document ongoing monitoring practices for investment restrictions and guidelines that the surveillance system cannot accommodate
- Continuously review approved investment restrictions and guidelines as expressed in Prospectuses, Statements of Additional Information, Investment Process Summaries and/or Investment Guideline documents and recommend rule modifications in the surveillance system
- Provide ongoing summaries of surveillance results, issues and resolutions to CCO
- Serve as a compliance system liaison with business partners
- Stay abreast of new system releases and coordinate updates
- Write operating procedures and maintain the compliance system user's manual
- Support periodic due diligence visits to investment advisers
- Summarize responses to quarterly investment compliance questionnaires
- Perform testing of compliance policies and procedures to ensure they are effectively implemented and document results

Qualifications for compliance management

- Ability to develop and maintain compliance policies and procedures
- Ability to review and approval program sales literature, marketing materials and other communications

- Strong knowledge of Singapore banking regulations, SFA rules, etc relating to the regulated activities of wealth management, and dealing in securities familiar with the FAA laws, rules and regulations
- In-depth knowledge of traditional and alternative wealth management products
- A minimum of 8 years Compliance, monitoring or auditing experience within a financial institution, regulator and/or similar environment