



Example of Compliance Management Job Description

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Our growing company is looking 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

- Support business initiatives by participating in compliance-related meetings, delivering training and developing compliance procedures
- Manages the assets, building and facilities of the company by monitoring and controlling the construction, reconstruction of building and its facilities, purchase of equipment, repair of building facilities and equipment
- Leads a team of up to five Quality Reviewers and Sr
- Conduct training for new team members and one-on-one coaching and feedback for improved performance
- Serve as subject matter expert for regulatory knowledge as it relates to complaints
- Assist with and/or lead process improvement projects or initiatives to enhance the complaint response process
- Providing compliance advice with regard to the applicable rules and regulations of wealth management (WM) from a Hong Kong perspective, or as it impacts the Hong Kong business
- Tracking all relevant meetings with regulators as it pertains to the WM business, ensuring that all issued raised in such visits, reviews and inspections are tracked, agreed escalated promptly and appropriately with relevant documents being provided on a timely basis
- Reviewing and assessing all new alerts, circulars and other regulatory notifications that impact WM and ensuring that the necessary business and Compliance divisions are aware of the likely impact
- Assessing new requests for outsourcing and insourcing that impact WM, including liaison with senior Compliance and Business Management

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- Must possess excellent organizational skills in order to work independently on a day-to-day basis, managing workloads, organizing fluctuating workload assignments, perform tasks or minor projects assigned by the Director/Executives or received as part of a project attend meetings as required
 - Must possess excellent working knowledge of Microsoft software productivity tools
 - Knowledge and familiarity with SEC regulations, Investment Advisers Act and Investment Company Act
 - Strong knowledge of private banking laws and regulations, directives and regulatory expectations
 - Preference will be given to candidates with proven experience in the private wealth management compliance industry
 - Ideally will have previous experience as a Head of Compliance at a Wealth Manager