



Example of Compliance Manager Job Description

Powered by www.VelvetJobs.com

Our growing company is looking to fill the role of compliance manager. Please review the list of responsibilities and qualifications. While this is our ideal list, we will consider candidates that do not necessarily have all of the qualifications, but have sufficient experience and talent.

Responsibilities for compliance manager

- Keeping abreast of upcoming, new and revised rules, regulations and directives applicable to the business and facilitating changes, as required
- Identify, communicate, and escalate as appropriate control issues and process inefficiencies
- Development of compliance best practices, and communicating US regulatory rules and laws ensuring their implementation throughout the firm
- Take a leading role in the development, enhancement and completion of the Compliance Monitoring Program (CMP)
- Responsibility for the development and implementation of risk assessments and CMP annually
- Driving forward monitoring capabilities, benchmarking with our peers, hosting and attending monitoring forums
- Provide input to risk assessments of sub-advisors and provide oversight on behalf of the RTC Funds of sub-advisor upon engagement and in quarterly reporting
- Head up compliance function and MLRO for the business
- Maintain and update knowledge base of compliance to aid the business on legislation
- Identify risks to the business and offer resolutions

Qualifications for compliance manager

- Significant exposure to compliance /regulatory issues and a record of problem solving in that sphere
- Minimum of 5 years work experience in compliance, audit or investments
- Strong knowledge of Private Banking and Private Trust
- Wealth industry knowledge and/or Wealth business experience
- Canadian Securities Course and/or other relevant exams