



Example of Compliance Manager Job Description

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

Responsibilities for compliance manager

- Review the applicable Corporate Records Retention Schedule(s) and notify BNYMellon Global Records Management of any issues specific to their area which would require changes to the Records Retention Schedule(s), such as the addition of new Record Classes or Business Functions within the Schedule(s)
- Conduct and/or facilitate internal communication and training on Records Management issues and best practices
- Assist with defining business-specific service provider requirements for any Records storage, retrieval, protection or destruction contracts
- Respond to reported violations of the Records Management policy or incidents pertaining to records management and escalate such violations as appropriate
- Assist the Legal Department in the Legal Hold process
- Ensure adherence to, and coordinate all, requirements of the Records Management Reporting Framework (Attestation) and enterprise Records Management initiatives such as the Self-Assessment Minimum Standards program
- Facilitate the records destruction review and approval process for the disposal of all types of records
- Participate in division and corporate working groups and initiatives relating to privacy and/or records management matters
- Serve as a consultant to senior leadership on privacy and records management issues

Qualifications for compliance manager

- Prior experience in a similar
- Advanced professional education is preferred
- Ability to interact with senior management and investment professionals clients
- Ideally will have previous experience within compliance at an asset manager
- Flexibility to change the ability and desire to influence change
- Promotes self and team learning opportunities