



Example of Compliance Manager Job Description

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Our company is growing rapidly and is searching for experienced candidates for the position 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

- Develop, implement and as applicable enforce an adequate and consistent compliance framework including preparing and maintaining current Compliance related policies, procedures, manuals and guidelines designed to ensure timely compliance with all laws, rules, regulations, guidelines, codes of conduct and standards of good practice
- Provide leadership and a high level of service to internal clients, providing interpretive advice as to the application of complex securities regulations to various business scenarios
- Conduct periodic compliance testing and monitoring to ensure that compliance procedures are followed as per the Compliance Assurance Program (CAP)
- Manages and assists the Senior Compliance Manager in drafting, editing and maintaining written policies and procedures and presentation materials for client and executive visits
- Provide training programs at induction, subject specific programs and oversight of the eLearning programs that are Compliance related
- Support timely and complete regulatory filings and notifications as required under regulation
- Undertake compliance reviews, documentation drafting, provision of compliance opinions/views and research assignments as requested
- Manage a team of investigators who review, investigate and respond to customer complaints

- Co-ordinate all Audit activities across both facilities & partner with leaders and process owners to drive process improvement and issue resolution as required

Qualifications for compliance manager

- Significant customer focus and understanding of regulatory risk
- Ability to manage high volumes of work in a fast paced environment and manage multiple priorities
- Ability to influence people and deal with conflicting points of view and to effect creative and responsive solutions
- Ability to deal with all levels of staff within TDBG
- Experience in Compliance, Operational Risk, Legal or Audit at a financial institution
- Working closely with the business to develop and implement Compliance plans and frameworks