



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. We appreciate you taking the time to review the list of qualifications and to apply for the position. If you don't fill all of the qualifications, you may still be considered depending on your level of experience.

Responsibilities for compliance manager

- Research and understand Industry rules and activities in order to help incorporate effective supervision for business policies and procedures
- Assist business partners in developing adequate compliance policies and procedures
- Ensure Compliance Policies and corresponding Business Written Supervisory Procedures (WSP) are established and refreshed
- Work on ad hoc continuous improvement projects to enhance policy, strengthen controls and build efficient processes
- Assist EMEA Controllershship team with balance sheet reviews and close calls
- Review of Internal Audit reports for EMEA and assist on Controllershship issue
- Coordination of the Financial Shared Service Centre Internal Audits
- Stay apprised of regulatory changes, partner with legal counsel to provide actionable advice to business units supported
- Actively attend meetings and collaborate with multiple business partners to foster a culture of compliance
- Encourage and manage the right balance between the customer, adviser and shareholder within the regulatory and legal framework

Qualifications for compliance manager

- Firm understanding of the products and services offered by a broker dealer, supervisory responsibilities of each

and security)

- At least 5 years solid compliance function in pharmaceutical industry with 2 years or above managerial experiences
- Bachelor degree above, majoring in Finance / Accountancy or related disciplines
- Ability to develop effective working relationships with clients and staff
- Knowledge of CFTC / NFA FINRA requirements