



# Example of Compliance Monitoring Job Description

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Our innovative and growing company is hiring for a compliance monitoring. To join our growing team, please review the list of responsibilities and qualifications.

## Responsibilities for compliance monitoring

- Receive incoming OBA and PI forms
- Draft and distribute 407 letters and Reverse 407 letters for employee and related accounts
- Track receipt of and review personal/related account statements
- Retain PAD forms/related documentation and ensure maintenance of books and records
- Create employee profiles for all new hires and update existing profiles
- Advise employees regarding the Firm's PA, OBA and PI policies, as needed
- The plan should meet all relevant regulatory, compliance and internal requirements and provide a platform to help satisfy ad hoc reviews and investigations
- Initiate and complete detailed Thematic and Desk Reviews as outlined in the plan and within the timeline outlined in the plan
- Ensure reviews are of a standard suitable for regulatory and/or internal or external audit review
- Validate document and evidence details of all investigations and findings

## Qualifications for compliance monitoring

- Possess the knowledge and ability to identify key compliance controls
- Possess knowledge of CBA businesses and control processes
- Must have strong interpersonal skills, a flexible, collaborative and team-oriented approach to problem-solving and an ability to work in a fast-paced, rapidly changing environment experience working in a globally diverse

- Liaise with compliance colleagues and the lines of business to verify and ensure that the desk review plan is aligned with existing, pending and projected compliance risks
- Ideally will have previous experience with monitoring and desk reviews