



Example of Compliance Monitoring Job Description

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Our innovative and growing company is looking for a compliance monitoring. Thank you in advance for taking a look at the list of responsibilities and qualifications. We look forward to reviewing your resume.

Responsibilities for compliance monitoring

- Create and document
- Assist in the delivery of the annual Compliance monitoring plan
- Liaison with the Business to address substantive matters arising and escalation and presentation of significant issues to senior management where necessary
- Develop recommendations and corrective action to support the Business in addressing Compliance and Conduct risk
- Self-motivated and bring a high level of energy and commitment to the team
- The preparation conduct, reporting and follow-up activities connected to Compliance Testing and Monitoring Unit reviews
- Regular interaction with Advisory Compliance, Internal Audit, Anti-Fraud Unit, Legal
- Performance of Permanent Supervision Controls (self-audit)
- Electronic Communication Surveillance
- Assist in the development and maintenance of risk assessments and departmental procedures

Qualifications for compliance monitoring

- Sufficient work experience within compliance in the banks
- Ideally will have previous experience within Monitoring OR Surveillance
- Ideally with ACA/ACCA qualification
- Big 4 back ground would be advantageous

- Strong interpersonal skills & excellent communication (written and oral) skills