



Example of Compliance Monitoring Job Description

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

- Review communications, legal agreements, and advertising for lending products to ensure there are no violations of laws or regulations
- Develop and deliver periodic status reporting to various leadership and senior management groups
- Contribute to the overall development and execution of the Compliance Monitoring Plan and perform periodic assessments of program success
- Regulatory Reporting – Ensure regulatory trade reporting requirements are met, including reporting of ETD transactions, supporting the Contracts team reporting OTC transactions and monitoring for changes or additional guidance under EMIR
- Counterparty Behaviour Monitoring – Prepare regular monitoring reports on Europe Commercial's trading activity (for example trading with unapproved counterparties, dormant counterparties, unexpected counterparty behavior)
- Global Business Compliance Support – Assist Business Compliance Europe colleagues with queries relating to trading activities and data analysis
- Escalation- Escalate any suspicious activity immediately in accordance with local procedures
- Management Information - Provide management with regular reports on approved counterparties, requests and the results of monitoring
- Document retention - Keep the documents, data or information obtained for the purpose of applying customer due diligence measures up-to-date
- Assist with the development and implementation of a compliance monitoring

Qualifications for compliance monitoring

- A minimum of 5 years MCT, Compliance, auditing, regulatory inspection or regulatory risk management/advisory experience within a financial institution, regulator and/or similar environment
- Support the delivery of timely responses to internal audit and external regulatory enquiries
- Work with a diverse, dynamic and energetic team across multiple jurisdictions and product lines
- Experience with database type applications – Palantir and Actimize highly desirable
- 4+ years of financial services consumer compliance monitoring experience
- At least 7 years of experience with security issues, techniques and implications across network infrastructure, Security Information and Event Management (SIEM) platform, and cyber security operations