



# Example of Compliance Risk Analyst Job Description

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Our company is growing rapidly and is hiring for a compliance risk analyst. If you are looking for an exciting place to work, please take a look at the list of qualifications below.

## Responsibilities for compliance risk analyst

- Consult and partner with the Corporate Technology Group in the implementation of new processes and enhancements to existing pre- and post-trade compliance monitoring, reporting, and trading systems
  - Work closely with internal and external auditors, regulators, and examiners to coordinate documentation requests, reports, and assurance letters
  - Participate in information security awareness and training initiatives
  - Assist in tracking and maintenance of action plans for the resolution of issues identified during assessment and audits
  - Serves as subject matter expert in specialized aspects of information security and emerging and advanced technologies
  - Supports enterprise in all aspects of information security administration
  - Consults with IT and business units on the purchase and/or design of complex and/or strategically significant information security projects, emerging technologies, or technology-related services before they are implemented
  - Analyzes business data use processes against vulnerabilities and threats and counsels business units on consequences
  - Collaborates with cross-functional teams responsible for information systems security to ensure the confidentiality, integrity, and availability of data stored, processed and transmitted
  - Engages with operating, storage, regulatory, engineering, HR, legal, and training units to evaluate and implement security process for critical infrastructure and key resources
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- Direct experience with audit frameworks, including SSAE 16 SOC 2 and SOX
- Familiarity with industry-standard security frameworks, including ISO 27001 and NIST 800-5
- Self-motivated with the ability to seek out and engage with people in the organization
- Flexible and collaborative with peer
- 1-3 years of related experience within professional services IT
- Experience with data analysis applications such as ACL, SQL, or Access preferred