



Example of Compliance Senior Analyst Job Description

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

Responsibilities for compliance senior analyst

- Working on the firm's Global Disclosures of Interest project the daily monitoring of beneficial ownership and short interest thresholds
- Provide support for the Columbia Threadneedle Chief Compliance Officer's regulatory and management reporting certain client reporting
- Supports all internal and external audits such as the ERB audit, SOC 2, Penetration Testing, by assisting iARC and Exams Management by planning meetings, gathering requested items, reviewing noted findings and recommendations and assisting with development, tracking and remediation of management action plans
- Execute core recurring projects key to maintaining compliance and security integrity within the Exams environment
- Support iARC projects within Exams by assisting with execution of projects or gathering requested items
- Execute risk-based project initiatives to increase the compliance and security posture
- Build the Exams security program and make recommendations for improvement, including providing guidance to staff regarding the handling of sensitive and confidential Exams data
- Maintain the business continuity plan and perform regular testing of the plan to ensure no critical interruptions to the business
- Measure, analyze and improve business processes by identifying operational efficiencies or reduce the cost of doing business

Qualifications for compliance senior analyst

- Ability to be self-directed, prioritise and work to deadlines while maintaining a high degree of accuracy and quality
- The ability to coordinate multiple assignments combined with the ability to view the bigger picture
- Strong analytical, problem solving and documentation skills - with the ability to develop complete, accurate and unambiguous documentation of business processes and system flows
- Solid written and verbal communication skills with the ability to effectively tailor communications to a diverse range of business and technical stakeholder groups
- Firm understanding of the products and services offered by a broker dealer, supervisory responsibilities
- Degree in Accounting, Finance, Business Administration or other relevant disciplines