



Example of Compliance Senior Analyst Job Description

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Our company is hiring for a compliance senior analyst. We appreciate you taking the time to review the list of qualifications and to apply for the position. If you don't fill all of the qualifications, you may still be considered depending on your level of experience.

Responsibilities for compliance senior analyst

- Research, interpret and advise the firm regarding compliance with laws, regulations and guidance applicable to broker-dealers and registered investment advisers
- Providing support to the Compliance Team Leader and act as deputy where required
- Providing internal consultancy to business departments on regulatory matters
- Identifying appropriate regulatory training/knowledge transfer into every area of the business as required
- Interfacing with regulatory bodies as necessary
- Taking an active role in the project process to ensure that regulatory points/matters are considered up front and throughout the project lifecycle
- Direct involvement in various firm wide projects and initiatives
- Ownership of the Compliance internal website
- Lead an assessment of current Compliance technology tools, including the documentation of business requirements and gaps against those requirements
- Assist in the administration of duties pertaining to the Ethics Office such as Personal Trading, Business Gifts and Entertainment and Information Barriers/MNPI administration

Qualifications for compliance senior analyst

- Minimum 2-5 years IT audit/quality/technology experience in a related regulated field
- BS Degree in Management Information Systems, Business or a technology related field
- Familiarity of applicable local securities legislation and fundamental understanding of applicable legislation in which the firm operates preferred
- Highly motivated, dedicated and able to work independently with minimum supervision
- Bachelor's degree with a major in Finance or Accounting, or equivalent experience
- Public and industry experience in a manufacturing environment preferred