



Example of Compliance Senior Job Description

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Our growing company is looking for a compliance senior. 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

- Provide support to developing fixes to ensure the business areas remain in compliance
- Participate on offsite inventory reviews
- Monitor open and pending issues in Audit reporting applications
- Support the operations in activities
- To analyze monthly alerts sent by Trade Control team
- To analyze Bridger Insight (BI) match cases and offer comments on the way to bring the cases to appropriate conclusion
- Preparation and filing of STRs with Financial Intelligence Unit (FIU), India
- To facilitate Trainings on AML and track completion
- Follow-up with confirmation of events, issues, and remediation
- Compile, replicate and execute daily, monthly, quarterly reports in short timeframes while

Qualifications for compliance senior

- Must have minimum 7 - 10 years experience within the Funds industry
- Communicate and resolve regulatory enquiries from external stakeholders ie
- Excellent PC skills using Microsoft (Word, Excel) and Lotus Notes
- Ability to analyze and interpret financial and non-financial data, policy issues
- Good analytical, communication (written verbal) and listening skills required
- Meet moving deadlines and adapt to changes quickly