



Example of Compliance Senior Job Description

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Our growing company is looking to fill the role of 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

- Conduct comprehensive compliance reviews and risk assessments of business activities, practices and controls
- Design, implement, and monitor programs, policies, and practices to ensure that relevant business areas are in compliance with regulatory requirements
- Report on a regular basis to the CCO and Business Senior Management on the progress of implementation and assisting them in establishing methods to improve efficiency and quality of services
- Periodically work with the CCO to revise the program in light of changes in the needs of the organization and in the law and policies and procedures surrounding RIAs and private equity firms
- Assist the CCO with developing, coordinating, and participating in a multifaceted educational and training program that focuses on the elements of the compliance program
- Coordinate, along with the CCO, internal compliance review and monitor activities including periodic reviews of departments
- Respond, in conjunction with the CCO, to regulatory inquiries as a key point of contact
- Act as one of the primary point of contacts with the Investment teams in regards to advisory responsibilities, which includes providing support for staff training
- Training should be performed on a regular basis, and needs-based training should be performed where necessary

Qualifications for compliance senior

- Detailed knowledge of regulatory requirements, codes and standards applicable to Corporate Areas
- Being a representative in the Operational Risk Unit, functioning inside his department / activity, ensure the implementation of both institutional and hierarchical directives in order to ensure a complete coverage of the different operational risks
- Contribute to the completion of Global Control Plan and other Risk framework documents to the satisfaction of the Group requirements
- Ensure that the incident management framework is handled effectively without any open issues
- Follow-up with the Units for any information or documentation deficiencies to meet local requirements
- Conduct root cause analysis (RCA) for all incidents and complete the preventive measures capture and implementation within the defined time lines