



Example of Compliance Senior Job Description

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Our company is growing rapidly and is searching for experienced candidates for the position of compliance senior. Please review the list of responsibilities and qualifications. While this is our ideal list, we will consider candidates that do not necessarily have all of the qualifications, but have sufficient experience and talent.

Responsibilities for compliance senior

- Ensure all materials and associated disclosures are in compliance with regulations
- Reviews exception reports for patterns of sales practice issues or violations of FINRA and firm regulations
- Provides assistance and guidance to registered representatives regarding compliance issues, firm policies and procedures and industry regulations
- Reviews updates/changes to FINRA, SEC and state regulations and updates policies and procedures
- Creates dashboard tools and reporting mechanisms to support meaningful risk reporting and analysis by senior leadership
- Researches best practices in compliance risk oversight
- Monitor compliance with Company A Policies and internal control frameworks
- Support the business units in monitoring for changes in business which impact internal controls over risk assessment, reporting, develop common processes, re-engineer and streamline processes and controls primarily related to compliance functions
- Prepare, analyze, evaluate, and document internal controls testing assessments and results
- Partner with the Compliance team and lead prioritization of internal and external audit requests including completion of client responses

Qualifications for compliance senior

- Experience with Microsoft AX, Perceptive, SAP / Cartesis, Donovan Data Systems / Mediaocean a plus
- Banking or regulatory compliance experience a plus
- Ability to work quickly, accurately and independently with complex subject matter
- Expert knowledge of global regulatory and cGMP requirements, industry best-practices, and a strong familiarity with production operations
- Identifies regulatory issues, through evaluation of policies, practices, and industry guidance in order to develop and evaluate proposed resolutions and their impact on business processes and resources
- Identifies and stays current on regulatory issues, through evaluation of policies, practices, and industry guidance in order to develop and evaluate proposed resolutions and their impact on business processes and resources