



Example of Compliance Senior Job Description

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Our growing company is hiring 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

- Participate in the review and make updates for the maintenance of written supervisory policies and procedures for FINRA and other compliance programs
- Some previous experience in risk, compliance, assurance and/or advisory
- Some understanding of compliance processes, policies and plans, and risk management
- Provides oversight of Sales Supervisors
- Performs daily and periodical oversight and analysis of trading activity and other activities of registered representatives
- Monitor and review representatives' outside business activities
- Work with registered representatives to identify and investigate issues, provide alternative solutions and resolve issues or escalate as appropriate
- May review customer complaints and resolves or escalates as necessary
- Responds to regulatory inquiries or escalates as necessary
- May respond to discovery requests and arbitration/litigation requests as necessary

Qualifications for compliance senior

- Bachelors degree in Business or Health Administration or compliance related field from an accredited college or university and a minimum of 5 years of related experience

- Technical and regulatory knowledge of personal lines insurance is a plus
- Knowledge of the Advisers Act and Investment Company Act
- Liaise with Corporate Compliance to ensure all Staff Group activities are in line with the enterprise-wide programme
- Bachelor's degree holder in information technology or engineering