



# Example of Compliance Specialist Job Description

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Our growing company is looking to fill the role of compliance specialist. 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 specialist

- Assists with the development, scoring, tracking and distribution of the annual risk assessment
- Conducts follow-up monitoring procedures to validate adherence to remediation plans where deficiencies have
- Monitor and Track regulatory disclosure reporting, Outside Business Activities, Personal Securities Accounts and Disciplinary Actions
- Analyze compliance issues, governmental efforts, regulatory Warning letters and X-ray safety
- Facilitate the securities and insurance licenses/appointments for the Firm's financial consultants, licensed bankers, premier bankers, and private bankers
- Completes routine follow-up on submitted licensing paperwork to ensure proper processing and updates internal Registration database as needed
- Work with Insurance carriers to appoint licensed colleagues with such carriers
- Monitors expiring insurance license report and notifies employees of pending expirations
- Provides assistance with processing requests and responding to emails received in the Licensing & Registration mailbox
- Provides administrative support for special projects to include research, compiling data and preparation of summary reports based on results

## Qualifications for compliance specialist

- Familiar with international certification scheme for Health & Safety and Environment
- Ability to integrate with neighboring functions, such as Audit, Legal, Security
- Ability to challenge and “ask the right questions” when tracking and reporting on implementation of regulatory changes
- A qualified candidate may be a lawyer (J.D.) (preferred) with experience within the broker-dealer industry for 4+ years post-graduation—breadth, rather than specialization in any one area, is optimal
- Generates excitement, enthusiasm and commitment to high levels of performance