



Example of Compliance Specialist Job Description

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Our innovative and growing company is searching for experienced candidates for the position of compliance specialist. 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 specialist

- Responsible for the monitoring and operation of the Sales & Marketing component of the Compliance Program, ensures adherence to all required regulatory and company requirements and standards
 - Audits and monitors sales activities for compliance with applicable regulations and compliance training
 - Partner with the Compliance Officer LAD to provide direction and guidance to the OLA business regarding compliance matters in keeping with established OCA policies and procedures and applicable local law and regulations
 - Assists with the writing and revision of standard operating procedures (SOPs) and work instructions to ensure proper procedures are followed by Operations personnel
 - Supports consulting with internal groups (e.g., Operations, Client Services, Business Development, Information Technology,) on healthcare issues and procedures to ensure healthcare compliance
 - Ensures compliance with all SCG EHS policies and procedures
 - Monitor employee personal accounts and trades
 - Enter manual trade confirmations to Examiner System
 - Provide user support for Personal Trading System (Examiner)
 - Complete deviations, CAPAs, change controls, document revisions and training activities to meet quality system requirements and timelines
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- Knowledge of the financial services industry and regulatory requirements
- Experience in data management and data management software
- Strong experience with advanced reporting tools (ex
- Proactive self-starter who can balance competing priorities and complete tasks in a timely fashion
- Ability to successfully integrate continuous improvement efforts into daily tasks
- Due to the nature of this work, qualified applicants who are offered a position must pass a random substance abuse test