



Example of Compliance Specialist Job Description

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Our company is hiring for a compliance specialist. To join our growing team, please review the list of responsibilities and qualifications.

Responsibilities for compliance specialist

- Works to develop relationships with vendors and the respective
- Forward disclosure documents to appropriate real estate contact and confirm receipt
- Assists in the development of the annual compliance plan for the country based on the Country Risk Register global and local priorities and provides recommendations in case of non-compliance
- Maintains current knowledge of the CMS Medicare Marketing, Enrollment and Disenrollment chapters of the Medicare Managed Care Manual all other appropriate CMS guidance and communicates with appropriate staff
- Monitors and evaluates compliance and enforcement trends and government oversight of competitor activities that may affect business
- Reviews all marketing and educational materials
- Responsible for new hire and on-going compliance training for sales and marketing staff
- Conducts surveys and other evaluations to assess compliance knowledge gaps to understand needed curriculum assess effectiveness of existing compliance training and related materials
- Partners with Sales & Marketing leadership to develop, implement, and continuously improve the "secret shopper" program
- Audits and monitors licensure/credentialing for employed sales representatives and contracted agents/brokers

Qualifications for compliance specialist

recommendation

- Demonstrated ability to work effectively & independently in a multi-national, matrix organization
- Experience in Tester, Reviewer is an added advantage
- Graduate with minimum 2-3 years' experience in the financial services industry
- Solid understanding of FINRA's advertising requirements particularly the requirements under FINRA Rule 2210 – Communication with the Public
- Detail-oriented, motivated and an independent thinker who is able to interact with employees of all levels