



Example of Compliance Support Job Description

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Our company is looking to fill the role of compliance support. If you are looking for an exciting place to work, please take a look at the list of qualifications below.

Responsibilities for compliance support

- Collaborate closely with other QA functions around the world, along with EA Certification, on the development of shared tools, processes, policies and service provision
- Create key performance indicators (KPIs) for the group and publish them on a regular basis, ensuring that all team members are working to meet them
- Translate the CoreQA Roadmap into local team objectives and cascade these throughout the local teams
- Meet frequently with direct reports to discuss operational issues, workload, successes and challenges, longer-term personal development and career goals, and to provide coaching and mentoring as needed
- Complete allocated compliance related tasks accurately and in a timely manner and where necessary escalate concerns to line management to ensure matters can be considered
- Review regulatory change and guidance relating to non-financial crime compliance, interpreting rules, principles and initiatives
- Summarise and distribute outputs with proposals for required action
- Create and maintain risk assessments relating to non-financial crime compliance ensuring reviews are conducted in line with policy and in a timely manner
- Take responsibility for the design and implementation of non-financial crime compliance policies and procedures as required in order to meet the requirements of new/updated regulations/legislation and embed these within the bank
- Act as the Bank's subject matter expert in relation to all non-financial crime

Qualifications for compliance support

- Strong leadership and relationship management skills, including the ability to interact and influence multiple levels of business management, work independently in a team environment
- Self motivated professional who will take proprietary ownership of their work and has a proven communication, analytical and project management skills
- Ability to assess, investigate and interpret complex issues
- Working knowledge of the regulations directly impacting life insurance sales activities
- Series 7, Life and Health Licenses or ability to obtain within 6 months of hire
- This position will require overnight travel of approximately 15 - 20%, travel to Prudentials NJ/PA locations (Newark/Woodbridge/Fort Washington) for training and meetings, as needed