



# Example of Compliance VP Job Description

Powered by [www.VelvetJobs.com](http://www.VelvetJobs.com)

Our company is looking to fill the role of compliance VP. To join our growing team, please review the list of responsibilities and qualifications.

## Responsibilities for compliance VP

- Handle regulatory inquiries and audits
- Manage the DOI Compliance team in Hong Kong and Singapore
- Coordinate with global and regional Compliance teams on new rules, rule changes, and strategic initiatives within DOI area
- Work with global PMO, Technology, and regional Compliance leads to implement the global strategic DOI platform in APAC
- Point of contact for escalation for external regulator and internal stakeholders, Legal, Technology, Operations
- Provide advisory to internal teams, DOI Operations, Business
- Look into changes in DOI regulations and working with Legal & Compliance to formulate requirements for monitoring
- Facilitate sessions with control owners to review and assess control design
- Work in conjunction with internal and external teams to gather reportable information, status and follow through any updates in accordance to the reporting and communication plan
- Managing the Compliance Risk Assessment process

## Qualifications for compliance VP

- Have recent and demonstrable, relevant Compliance experience or other related experience legal, risk management, audit, operations controls or similar
- A team player and result oriented
- A good understanding of all EMEA country regulations used within

- 3-5 years of marketing review experience in an investment company, investment adviser, broker/dealer or other financial services organization, or FINRA
- Excel, PowerPoint, SharePoint, Visio and Access
- Good knowledge of Investment Banking and Compliance preferred