



Example of Compliance VP Job Description

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Our company is growing rapidly and is hiring for a compliance VP. Thank you in advance for taking a look at the list of responsibilities and qualifications. We look forward to reviewing your resume.

Responsibilities for compliance VP

- At least five years of relevant compliance, regulatory or legal experience gained within financial services
 - Experience of Custody and Fund Services or other relevant wholesale financial services products
 - Experience with Compliance desk reviews and project management
 - Work with Company's Legal department to monitor legal and contract compliance at Company (ex
 - Develop an effective corporate compliance and ethics training and communications program, including appropriate introductory training for new employees ongoing education for employees and managers
 - Constantly survey the regulatory and compliance landscape for developments that may require changes to Company policies and additional training
 - Leverage technology to aggregate controls, risk and corporate compliance and ethics information to rapidly identify and report exceptions, improve information quality
 - Be the subject matter expert for both Federal and State laws/ rules & regulations for all of the various business units across the company
 - Integrate all changes in Agency requirements on a regular basis to stay compliant
 - Oversee 7+ risk and compliance analyst/ policy procedure analysts while also partnering with the lines of business directly to keep their units compliant and up-to-speed
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- Strong working knowledge of the applicable regulatory principles and rules applicable to The Approved Persons Regime, European Exchange Registrations and Personal Account Dealing
- Strong knowledge of the proposed Senior Managers Regime
- University degree preferably in business, finance, or economics or relevant experience
- Deliver quality compliance risk analysis
- Conduct periodic desk reviews of the activities
- Demonstrate regulatory compliance knowledge relevant to consumer laws and regulations