



# Example of Compliance VP Job Description

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Our company is growing rapidly and is looking 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

- Review of existing onshore and offshore processes, policies and systems to ensure they are fully aligned and to highlight and implement control and process enhancements and efficiency gains
- Provision and enhancement of management information to track the performance of the team
- Identification of issues and trends from the management information, suggesting, agreeing and managing the implementation of further enhancements and process remediation where required
- Ownership of audit or other remediation activities that may be required from time to time
- Working as part of the team to support day-to-day activities across all aspects of its role, thereby also assisting in ensuring that adequate coverage for holidays and other staff absences is available
- Working collaboratively with other team members, Compliance Senior Management and business stakeholders in achieving the role objectives
- Co-ordinating with the broader Compliance department and management team to ensure appropriate training and regulatory updates are provided by the team in respect of all areas of coverage
- Be appointed as the Chief Compliance Manager of the Wholly Owned Foreign Enterprise (WOFE) for the QDLP business and carry out the duties as specified by the local regulations in respect of the role of Chief Compliance Manager
- Provide compliance advice and support to the other GIM businesses in China

WFOE to be set up by GIM and liaise with other compliance teams who handle other investment management businesses in China

- Review new products and assist in the product documentation and registration process

## Qualifications for compliance VP

- Language skills highly desirable
- Minimum 5 years working in the financial services industry
- FICC Compliance experience in Asia is preferred but individuals with non-Compliance experience will be considered if they can demonstrate strong FICC product knowledge
- Good knowledge of regulatory framework in Asian jurisdictions in relation to foreign exchange and rate derivatives business
- Experience in dealing with HKMA will be an advantage
- Understanding of US laws and regulation including Dodd Frank Act and Volker Rule