



Example of Investment Compliance Job Description

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Our innovative and growing company is looking to fill the role of investment compliance. Thank you in advance for taking a look at the list of responsibilities and qualifications. We look forward to reviewing your resume.

Responsibilities for investment compliance

- Strong technical skills including MS Office, experience with MS Excel a must
 - Acting as an expert in supporting your team in their monitoring of UCITS, UCIs and SIFs laws
 - A qualification in Law or a related discipline is preferred
 - A minimum of twelve years compliance, regulatory, legal or risk management experience gained within a financial institution or a regulator
 - Provide direction and guidance and serve as subject matter expert to internal/external business associates on investment advisory compliance issues, including fiduciary responsibility, advisory regulation, strategic relationships, and permissible activities under firm policy
 - It is the better to communication of compliance matters in investment area including timely and accurate reporting and escalation of such matters in accordance with relevant reporting and escalation protocols
 - Closely work with relevant departments such as AMC, legal, internal audit to identify the compliance risk more timely and accurately and improve the effectiveness and efficiency of the controls on a ongoing basis
 - Strictly conduct various compliance monitoring including daily post-trade compliance report in Bloomberg, Hundsun, Portia and BI
 - It should develop various compliance reports according to the policies and submit to relevant parties on a timely basis
 - Assist Compliance and Operations staff with regulatory filings (e.g., Form ADV, Form PF, 7R, 8R, PQR)
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- Fundamental Finance knowledge
- Experience in working with front line staff including sales and traders
- Ability to carry out detailed procedures as specified
- Familiarity with asset types
- Capable of taking the lead on all regulatory matters associated with the various businesses within the alternatives platform of asset management and its Global Real Assets ("GRA") business
- GRA is the global real estate fiduciary business within JPMAM which is primarily focused on identifying and investing in a variety of Real estate projects, fixed assets and properties generating superior investment returns for its investor clients