



Example of Leader Compliance Job Description

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Our innovative and growing company is hiring for a leader compliance. To join our growing team, please review the list of responsibilities and qualifications.

Responsibilities for leader compliance

- Attract, develop, and retain talent so that the department is adequately and professionally staffed for future growth
- Effectively utilize firm resources, especially in relation to people, technology, money, and time
- Collaborate and partner with leadership and other business area's to ensure appropriate compliance support is integrated into firm projects and initiatives
- Continually develop and tailor solutions to various audiences in a fast-paced autonomous environment while quickly identifying branch, associates and other departments needs and providing proper solutions that align to compliance laws and regulations
- Facilitate Business Process Improvement projects (under Black Belt Guidance) using Lean Six Sigma discipline and includes the coaching, coordination, and management of projects across the department
- Manage the evaluation of business issues, both internally and externally (Federal / State / Other Governmental Regulations) and develop compensation solutions in support of stakeholders needs
- Accountable for ensuring continuity and successful delivery of required audits and evaluations to ensure compliance with city, statutory and national legislative changes impacting compensation
- Creating/reviewing ad-hoc analyses of compliance, identifying trends and recommending appropriate actions
- Manage analyses, auditing and ensuring regulatory/legal compliance on matters related to compensation
- Manage 1 analyst

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- BA/BS degree or educational equivalent
 - Travel throughout the region and the US will be required about 30-40% of the time
 - Law degree or CPA, CFA, CLU, FLMI designation a plus
 - A minimum of 7 years related securities/compliance background within insurance, investment banking/asset management
 - Bachelor's degree required and Master's degree strongly preferred in a training-related field such as adult education, instructional technology, business or psychology
 - Technical Knowledge- Strong grasp of code of conduct, business ethics policies and current compliance practices and industry standards in a relevant services space