



Example of Markets Compliance Job Description

Powered by www.VelvetJobs.com

Our growing company is searching for experienced candidates for the position of markets compliance. To join our growing team, please review the list of responsibilities and qualifications.

Responsibilities for markets compliance

- Liaising directly with the MAS on licensing and regulatory requirements
- Assist in the enforcement of Firm Policy and Procedures
- Assist with coordinating institutional branch review process
- Assist with reviews of various business units
- Creating and maintaining various Excel spreadsheets for the department
- Create presentations and training materials using PowerPoint
- Supporting the Regional Head of Markets Compliance on compliance and strategic initiatives
- Preparation of reports, presentations, meeting materials for the Markets Compliance Management
- Providing planning support and project management covering compliance, regulatory developments and training
- Manages a team in a global markets operations support function in product areas

Qualifications for markets compliance

- 10+ years Market experience (particularly fixed income, structured products and transactions)
- Relevant financial and professional FINRA licenses and/or other professional qualifications (for example, CPA, CFA)
- Specific experience in markets (fixed income and/or equities), structuring, and / or portfolio management

- Ensure that the AML program is aligned with the regulatory requirements the firm's business objectives
- Self-initiative and a team player