



## Example of Markets Compliance Job Description

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Our innovative and growing company is looking to fill the role of markets compliance. If you are looking for an exciting place to work, please take a look at the list of qualifications below.

### Responsibilities for markets compliance

- Draft and implement policies and procedures to set consistent standards across businesses or product lines
- Advisory of the FICC business including rates, structured products, DCM, syndicated loans, treasury, offshore RMB
- Provide compliance advice and guidance to Markets business in China to ensure all the related local and Group compliance requirement are adhered to, in particular in areas of various market making qualifications, custodian license, cross border RMB business & Shanghai FTU business
- Establish and maintain good working relationship with the regulatory authorities and exchanges
- Able to work well under your own initiative and results driven
- Able to balance multiple high profile projects and deliverables and thrive in a high pressure environment
- Working very closely with the markets business to provide compliance and regulatory advice
- Establishing / reviewing policies and procedures in accordance with regulatory requirements and firm policy
- Support the Head of AML Compliance Europe & Asia in meeting all regulatory and legislative requirements
- Development and delivery of Capital Markets policies and procedures to ensure appropriate local policies & procedures meet with Enterprise Policy, Control Standards & Guidance

- An individual who is motivated, able to work independently, team player who is able to interact with other control functions to deliver on goals and objectives
- Licenses or registrations relevant to the products supported are preferred
- At least 5 years of full-time experience in Capital Markets specifically related to compliance, legal, audit, or finance
- 10 years of full-time experience in Capital Markets specifically related to compliance, legal, audit, or finance
- Some knowledge of shipping and the export / import business
- Knowledge of Fidessa, Bloomberg, and Microsoft applications