



Example of Markets Compliance Job Description

Powered by www.VelvetJobs.com

Our company is growing rapidly and is hiring for a markets compliance. Please review the list of responsibilities and qualifications. While this is our ideal list, we will consider candidates that do not necessarily have all of the qualifications, but have sufficient experience and talent.

Responsibilities for markets compliance

- This position will report to the Head of Markets Regulatory Compliance, a group that provides coordination, oversight, and advisory services on applicable U.S. and international regulations
- A strong emphasis on Dodd-Frank Act Regulations, Swap Dealer Rules, and Volcker Rule-related responsibilities, including interpretation and application of cross-border regulatory requirements
- Advise Compliance and Business management and staff on regulatory and compliance issues strategic implications
- Provide regulatory guidance to employees, departments and project teams regarding design, design, development, evaluation, and marketing of products
- Partner with other Compliance teams and global functions, including Legal, Middle Office, Risk, Operations and Technology, and Finance to prevent and detect non-compliance issues and promote a culture of compliance
- Lead initiatives and manage high-impact special projects with a results-driven focus, including coordinating the implementation of new regulatory requirements and compliance program design
- Identify, analyze, and scope the enterprise-wide impact of
- Investigate internal and external incidents/complaints, and prepare documentation and submissions to appropriate regulatory agencies as necessary
- Participate in industry groups and trade association working groups or other

Qualifications for markets compliance

- Must have experience with Microsoft Excel and Word
- Some financial market knowledge is preferred
- Degree in a law, finance and other relevant fields is very desirable
- Wide knowledge of Global Banking & Markets business, including products
- Previous brokerage operations experience, preferably in an accounting, settlements or control department
- Knowledge of FINRA rules and regulations- Reg T, 15c3-3, 17a-13