



Example of Markets Compliance Job Description

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Our company is looking 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

- Role Context
- To support the Head of AML Compliance Europe & Asia in meeting all regulatory and legislative requirements
- Deputise for the Director AML Compliance CM & IST Europe in their absence
- Development and delivery of Capital Markets and Investor Services Trust policies and procedures to ensure appropriate local policies & procedures meet with Enterprise Policy, Control Standards & Guidance
- Support UKFCC projects or other CM / I&TS projects as required
- Self-motivated and results-driven, you will be able to balance multiple high profile projects and deliverables and thrive in a high pressure environment
- Assisting the business and the supervisory function in developing, implementing, and improving the supervisory framework providing adequate solutions to regulatory problems and compliance issues
- Perform all aspects of compliance related to NTCIC's NMTC program
- Ensure NTCIC is in compliance with allocation agreements and IRS requirements and prepare/maintain necessary documentation
- Perform bi-annual substantially all tests in accordance with IRS regulations

Qualifications for markets compliance

- Advise on local regulatory requirements for new initiatives branch-wide matters

- Actively participate in business initiatives/projects, acting as the primary risk and compliance representative on steering committees/ working groups
- Senior member of the EMEA risk and compliance management team, actively contributing to the running of the department
- Management of the Capital Markets and Treasury compliance team, sharing technical knowledge and experience with team members