



Example of Regulatory Compliance Analyst Job Description

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Our growing company is looking for a regulatory compliance analyst. Thank you in advance for taking a look at the list of responsibilities and qualifications. We look forward to reviewing your resume.

Responsibilities for regulatory compliance analyst

- As assigned take ownership of Level 4 issues (liaise with appropriate teams to define solution)
- Input to the maintenance of the validation pack specific to the application (Validation Documentation Set - ensure the application's validated state is maintained throughout life (URS, TAS, Tech Spec, Change Controls, Periodic Review)
- Input to Audit / Inspection Readiness (MHRA, FDA etc) specific to the application
- Engage with business and define continuous improvement opportunities
- Use intelligence gathered from complaint analysis to identify areas of regulatory concern and process improvement
- Assist with and/or lead process improvement project or initiatives to enhance the complaint response process
- Assist in other areas of Compliance as needed
- When assigned, assists in ensuring that changes in servicing regulatory compliance requirements are reflected in our application systems, submits process improvement requests in which automation would help prevent user errors
- Assist in global and regional strategic projects involving the Firm's financial regulators (Federal Reserve Bank, OCC, FDIC, etc)
- Provide support in the documentation of Treasury's capital, liquidity and funding policies and procedural documentation in line with sound business

Qualifications for regulatory compliance analyst

- Bachelor's degree in engineering, life sciences or nursing (mechanical, electrical, industrial, software, biomedical, computer, biology, physics, chemistry,) preferred
- Have solid understanding and knowledge in Regulatory Compliance and FATCA/AML business processes and market trends and solutions
- Ability to work independently, handle multiple tasks and prioritize activities in a team environment
- Able to quickly grasp complex issues, and effectively integrate, compile, and analyze complex information and data
- 3-5 years of accounting and consolidation experience
- Strong computer based skills to understand system functionality