



Example of Securities Compliance Job Description

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

Responsibilities for securities compliance

- You will also provide timely advice in relation to Compliance related enquiries from all Business Units including sales and trading queries, regulatory implementation, new product approvals
- Work to enhance the profile and visibility of the compliance function
- Manage oversight and governance framework for quarterly supervisory checklists, certifications/attestations and related compliance/supervisory meetings that support annual CEO certification/attestation requirements (pursuant to FINRA Rule 3130 and other regulatory requirements, including the Volcker Rule)
- Development and dissemination of quarterly materials for use in compliance/supervisory meetings with Securities Division supervisors, globally
- Draft and update relevant Supervisory Policies and Written Supervisory Procedures (40+)
- Manage SDC contributions to firm wide supervisory compliance efforts including policies and procedures, training, quarterly meeting materials and annual reporting
- Support requests for information and direction from Internal Audit and Compliance Testing Group
- Respond to regulatory inquiries, as needed
- Contribute to identification, testing and implementation of strategic and/or routine technology enhancements associated with the platform above
- 5+ years experience in broker-dealer compliance, preferably in an advisory

Qualifications for securities compliance

- Hands on working knowledge of SQL, in Sybase or IQ preferred
- Strong interpersonal skills, ability to explain complex policies and procedures to employees at all levels
- Three or more years of experience in the intelligence or criminal justice fields within the military
- Work within the fields of anti-fraud a plus
- Previous compliance, legal, business
- At least 1 years of compliance, legal, business