



# Example of Securities Compliance Job Description

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

## Responsibilities for securities compliance

- Finally, the incumbent will be responsible for running, analysing and distributing all trade activity reports, violation reports and running weekly processing reports
- The incumbent will classify employees to facilitate monitoring
- Analyse surveillance results and data to produce management reports
- Accountable for the end-to-end delivery of the Reference Data Utility
- Accountable for the satisfaction of the Custody, Collateral Mgmt and Securities Core Processing experience of the Reference Data Utility
- Accountable for understanding the client's business and industry trends
- Accountable for business development, strategy and supporting the growth and penetration of the Reference Data Utility across Custody, Collateral Mgmt and Securities Core Processing
- Proactively work to enhance clients relationships by probing for, and when appropriate, recommending and implementing service enhancements
- Accountable for the program management of the Custody, Collateral Mgmt and Securities Core Processing Reference Data Technology discretionary budget (approx
- Accountable for building relationships with senior level contacts across Custody, Collateral Mgmt and Securities Core Processing in order to understand their reference data requirements

## Qualifications for securities compliance

- Being a team-player working independently
- Familiar with relevant guidelines, rules, regulations of the HKMA and SFC
- Solid experience in AML / KYC and knowledge in FATCA and AEOI preferred
- Strong analytical skills in the context of compliance and control environment