



Example of Securities Compliance Job Description

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Our innovative and growing company is looking to fill the role of securities 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 securities compliance

- Develop, write or update firm policies and procedures, as needed
- Develop and maintain surveillance programs related to market conduct and trading issues
- Conduct oversight reviews and monitoring of client accounts exhibiting unusual trading, concentrations, churning or other high risk activity
- Monitor account activity as it relates to client objectives
- Work with supervisors to develop and review rep-level reports to identify possible inappropriate activity
- Assist business unit supervisory personnel with developing effective supervisory control testing and oversight programs
- Assist with handling of errors and corrections
- Coordinate with Corporate ITS and business unit personnel to ensure proper maintenance of regulatory books and records
- Provide guidance on regulatory implications associated with new or proposed rules and developing and launching new products and services, including but not limited to, suitability, know your customer, books and records and back office operational requirements
- Prepare and deliver educational communications and/or presentations to Field and Home Office employees as needed

Qualifications for securities compliance

regulated field

- Preference will be given to candidates with strong institutional equity Compliance experience with a Global Investment Firm
- Practical understanding of securities services business
- 1-3 years compliance, legal, or business (or other relevant) experience involving the securities or financial businesses
- Solid knowledge of securities and asset management products is a must
- Proficiency in both written and spoken English and Chinese is a MUST