Our company is growing rapidly and is looking to fill the role of securities compliance. We appreciate you taking the time to review the list of qualifications and to apply for the position. If you don't fill all of the qualifications, you may still be considered depending on your level of experience.

Responsibilities for securities compliance

- Track regulatory findings and observations and any remedial commitments to regulators
- Build and maintain regulatory relationships in AEJ
- Advise Business on AEJ disclosure regime relating to beneficial ownership
- Monitor firm wide correspondences with the Hong Kong regulators
- Partner with Legal Department to give appropriate regulatory advice to Business
- Document and implement compliance programs and policies related to Markets businesses, including new global regulations related to Markets such as Dodd Frank, EMIR, MIFID2, and SFTR
- Partner with the business on various regulatory reporting issues, including reporting under Dodd Frank and EMIR
- Assist in developing compliance policy and provide support to the business units with regard to business developments
- Oversight of the review of customer complaints and inquires
- Ensure appropriate reports are maintained and provided to Compliance management when required

Qualifications for securities compliance

- Minimum of ten years progressive audit or compliance experience in the financial services sector

Principal Trading, Research, Equity Finance)

- This position requires knowledge of the Financial Services Industry, U.S. securities markets and investment instruments and a general knowledge of compliance concepts
- Degree qualification in Commerce/Business, Economics, Law or related discipline
- Dynamic individual with 4-5 years of compliance, legal, audit or other control function experience covering Equities and/or FICC products
- Working knowledge in HK and APEJ regional OTC and listed securities regulations