



Example of Senior Compliance Manager Job Description

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Our company is growing rapidly and is looking for a senior compliance manager. 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 senior compliance manager

- Monitors changes, and proposals to change, laws and regulations relevant to the EMEA Communications issued by T
- To review and ensure that all promotional materials and advertisements are in compliance to the Guidelines
- To review all the prospectuses (for existing and new funds) and the interim and annual fund's report
- To review and improve the regulatory and operating compliance standards of the Company's work processes and operations
- To provide assistance and advice to other department heads on all matters pertaining to unit trust operations, accounting, sales and marketing and any matters relating to the business of the company
- To assist in dealing with the Securities Commission, the Trustee and the Syariah Adviser for all compliance matters and submissions
- To assist in preparation of compliance report for all local reporting including Board of Directors meetings and Investment Committee meetings
- Oversee and perform internal, external and customer audits as per audit plan for identification of opportunities for continuous improvement of the Quality System
- Execute the duties of the position such that the focus is largely proactive versus reactive
- Train and develop a knowledgeable, compassionate exam staff on all aspects

understanding and sharing of firm/industry risk, report writing, interviewing skills, pre-examination requirements, escalation protocol

Qualifications for senior compliance manager

- Strong product knowledge of either Cash Equities, Prime Finance or Derivatives
- Preference will be given to candidates with experience in information technology as it relates to equity trading
- A minimum of 4 years experience within Equities Compliance within a financial institution, regulator and/or similar environment
- Minimum of 7 years of relevant HR experience, Compliance background an asset
- Senior Project Managers manage change through projects which are established to deliver a specific outcome, on time and on budget
- Minimum 5-10 years of experience in internal investigations and supporting an ethics & compliance program