



Example of Senior Compliance Manager Job Description

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

Responsibilities for senior compliance manager

- Proactively manage various compliance disclosures and concerns
- Partner with executives and functional business area representatives to improve their understanding of strategic and operational compliance
- Assist in the establishment of a comprehensive global vendor due diligence and compliance management program and conduct due diligence activities
- Provide compliance guidance on key projects and in multidisciplinary working groups
- Define scope and negotiate contracts with third party vendors
- Execution of risk-based internal testing programs relative to Trusts, Mutual Funds, Investment Advisers, Principal Underwriters/Distributors, Separate Accounts (Variable Annuities and Variable Life products/operations) and other internal service providers
- Provides oversight of review and support of corrective and preventative action deliverables to ensure highest level of operational excellence and timely compliance
- Works with global and/or across business units to implement new global or local Inspection Readiness and Corrective and Preventative Action (CAPA) management processes
- Works with US Medical Affairs Compliance and Regional PV Excellence Leader to perform and follow up on monthly compliance checks
- Determines resourcing across compliance-focused staff within USDS CAT

- Provides support to ensure assigned area is aligned to regulatory requirements, the CRMP Manual and other Group policies
- Actively participating in global conferences, panels, and trade organizations
- Fluent written and verbal skills are needed in both Chinese and English
- Knowledge of the regulatory regime throughout Asia, including China, Taiwan and South Korea, is preferred
- High degree of professionalism and integrity with demonstrated ability to handle confidential issues in a professional manner
- Experience providing effective compliance training and to develop developing training materials within prescribed frameworks