



# Example of Senior Compliance Specialist Job Description

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

## Responsibilities for senior compliance specialist

- Schedule, coordinate and control regulatory agency compliance activities for Shakopee products to meet project schedules
- Test products internally as needed to ensure they meet regulatory agency compliance requirements
- Provides periodic reports to Compliance for state examinations and leads the effort to gather necessary documentation for period audits and review
- Tracks and maintains records of all reports filed, adhering to strict deadlines so filings are made in a timely manner
- Handles special projects or other duties as may be required from time to time
- Provide advisory support to the business unit performing monitoring activities to ensure compliance with federal regulations, state requirements
- Review of change control items such as policies/procedures and borrower communications
- Monitoring responsibilities include utilizing the annual compliance risk assessment and knowledge of the business environment to plan and execute activities to validate compliance with applicable requirements
- Actively participate in the annual compliance risk assessment in order to provide subject matter expertise specific to the aforementioned functional areas to assess risk and controls
- Develop tracking and oversight tools and methodologies to satisfy mandate requirements

- Provides comprehensive compliance support to mortgage and consumer lending business lines
- Review of policies, procedures, and other business line documents to ensure compliance with regulatory requirements
- Performs periodic, targeted, and business oversight compliance monitoring to include assessment of controls, product reviews, and horizontal reviews
- Researches complex regulatory issues that may involve internal or outside counsel
- Assesses the effectiveness of compliance programs, providing knowledgeable advice and counsel for business lines or assigned areas
- Drafts comment letters regarding regulatory changes and reviews letters with compliance management before distribution to affected areas of the Bank