



Example of Specialist, Compliance Job Description

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

Responsibilities for specialist, compliance

- Identify, propose and execute CAPAs and procedural changes to reduce deviations
- Act as assistant to the compliance officer for various accreditation and implementation activities
- Research, review and respond promptly to external complaints in coordination with Compliance Officer
- Assist Compliance officer in obtaining, copying and submitting medical records as requested for audits and complaints
- Assemble audit materials, support and participate in internal and external audits
- Provide Administrative support with faxing, scanning and copying for Compliance Department
- Any other assigned tasks as related to quality and compliance
- Conducts follow-up monitoring procedures to validate remediation of Corrective Action Plans and promote ongoing compliance
- Assists with responding to pharmacy inquiries related to training clarifications and status
- Assists with the tracking of the vendor related trainings

Qualifications for specialist, compliance

- Understanding of KYC/AML risks and ability to handle procedural and control aspects to manage risks

- Minimum of four years of experience as a compliance professional, specifically in the area of advertising, marketing and other communication reviews
- Solid understanding of the requirements pertaining to advertising under the Investment Advisers Act of 1940 and Securities and Exchange Commission's interpretations of them (e.g., No-Action Letters)
- Solid understanding of the requirements under Rule 482 of the Securities Act of 1933