Example of Wealth Management Compliance Job Description

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Our company is growing rapidly and is hiring for a wealth management compliance. To join our growing team, please review the list of responsibilities and qualifications.

Responsibilities for wealth management compliance

- Review and analyze compliance reports
- Maintaining various Excel spreadsheets for the department
- Providing advice and support to the PWM front office teams on Compliance polices and EMEA and US regulations
- Conducting trading and suitability surveillance using automated surveillance systems and forensic investigations
- Review and approval of "non-traditional" PWM client relationships
- Ownership and development of the annual Compliance Training Plan
- Review and investigation of client complaints
- Review and approval of financial promotional material
- Analysis of cross border impact of regulations to understand viability of offering PWM's investment services into multiple jurisdictions across the EMEA region
- Maintaining and documenting Compliance policies and procedures (primarily Compliance Notices and the Compliance Manuals)

Qualifications for wealth management compliance

- Ability to read and write Chinese is preferable
- Relevant Wealth management experience
- Excellent verbal and written English communication skills essential, fluency in Asian languages Mandarin, Cantonese and/or Bahasa advantageous

- Strong knowledge in local rules and regulations and awareness of regulations in Singapore, China, Taiwan and Korea will be a plus
- Strong personal effectiveness skills, which include motivation, the ability to influence and negotiate, adapt to varying conditions and seize personal development opportunities