



Example of Wealth Management Job Description

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

Responsibilities for wealth management

- To liaise and work together with colleagues in other jurisdictions, departments and functions to find compliance solutions to business issues or concerns
- Representing Compliance to the business and providing appropriate advice with regard to regulations and compliance related matters
- Provide impact analysis and assist in providing practical solutions in respect of requirements arising from the implementation of FCA Regulations, EU Directives and other regulatory developments, in respect of new and existing businesses
- Advise on regulatory changes to ensure WM policies and procedures can be updated on a timely basis
- Ensure WM Compliance policies and procedures are reviewed and updated on a timely basis, incorporating regulatory changes
- Assist in representing Compliance in the New Product Approval Process at UK and Global levels, which includes reviewing new products and business initiatives launched in the bank for WM use
- Provide WM Compliance back up for Takeover Panel related matters and reviews
- Develop and maintain business and marketing relationships with our Client Service Coordinators (CSCs)
- Consult with potential clients and obtain financial information, including financial goals
- Collaborate and coordinate with our tax partners to provide tax-efficient

Qualifications for wealth management

- At least 6 years of experience in a similar capacity as dealer is preferred, with a solid understanding of treasury dealing and execution activities
- Ideally will have previous experience within Wealth Management and Compliance
- Proficient in applicable software applications including PARis, Orion, Zephyr
- Experience in organizational development, leadership development, succession planning, talent management, employee relations, and recruitment
- In-depth knowledge of legal requirements related to management of employees
- International HR experience is helpful