

Head of Compliance Job Description

- Conducting and overseeing internal reviews or audits periodically to ensure that compliance procedures are followed
- Conducting or directing the internal investigation of compliance issues
- Informing, educating, and training employees on matters that are associated with regulations and industry practices
- Evaluating business activities such as investments, to evaluate or assess compliance risk
- Coming up with effective plans to manage a crisis or compliance violation
- Staying up-to-date with internal standards and business goals
- Working cooperatively with external auditors when needed
- Preparing appropriate compliance reports with regulatory agencies
- Discussing arising compliance issues with management or employees
- Ensuring and verifying that all regulatory policies and procedures have been documented, implemented, and communicated.