

Compliance Officer - Associate/Vice President

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Company: JPMorgan Chase & Co.

Location: Taiwan

Category: other-general

Job Summary

Our organization is focused on cultivating a stronger, unified culture that embraces a sense of personal accountability for developing the highest corporate standards in governance and controls across the firm. Business priorities are built around the need to strengthen and guard the firm from the many risks we face, financial rigor, risk discipline, fostering a transparent culture and doing the right thing in every situation. We are equally focused on nurturing talent, respecting the diverse experiences that our team of professionals bring and embracing an inclusive environment.

As a Compliance Officer - Associate/Vice President within our team, you will play a crucial role in ensuring our business activities meet regulatory requirements. You will assess compliance risks, provide guidance, and train employees to comply with regulations and policies. Your role will contribute to the development of the highest corporate standards in governance and controls. Our organization prioritizes risk management, financial rigor, transparency, and fostering an inclusive environment that values diverse experiences and nurtures talent.

Job Responsibilities

Coordinating regulatory engagements (surveys/enquires/ad hoc requests), analyzing implication of regulatory developments (consultation papers/regulatory changes) and consolidating feedbacks from business teams.

Performing licensing registration & associated filing to regulators and providing day-to-day advice on personnel licensing requirements to businesses and senior managers.

Conducting monitoring to review key processes and identify control gaps/process improvements.

Keeping abreast of regulatory matters relating to products and liaising with counterparties to follow-up regulatory reporting items where necessary.

Providing the oversight and guidance of investment compliance matters and relevant initiatives.

Assisting in the compliance review and challenge of the legal entity risk assessment as appropriate.

Monitoring and evaluating regulatory developments and implementing necessary changes to compliance related policies and standards.

Participating in the regional coordination of ad-hoc compliance projects.

Contributing and coordinating the compliance self-assessment program to be in compliant with relevant regulations.

Facilitating the preparation and delivery of relevant compliance trainings.

Assist in providing responses to internal audit/review and or regulatory exam requests.

Required qualifications, capabilities, and skills

Bachelor's degree in Law, Business, Finance and / or related fields.

10 + years of work experience in Compliance, Risk, Audit or Business Control Functions of Asset Management Company, Bank or Securities firm. Candidate has less experiences will be consider as Associate.

Taiwan Senior Securities Specialist License or SITE & SICE Personnel License.

English and Mandarin Proficiency.

Good communication skills, detail-oriented, organized attitude and working manner with teamwork spirit.

Superior problem solving and analytical skills, capable to work independently and also be a team player.

Ability to gain partnership with the business and challenge the status quo.

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