

ROLE REFERENCE SHEET

Regulatory Compliance Manager

Regulatory Compliance Manager · Compliance Program & Change Management

Runs the day-to-day compliance program, turning regulatory obligations into policies, controls, and monitoring across the business.

WHAT THE ROLE OWNS

- Regulatory obligations register
- Compliance policy library
- Regulatory change management
- Compliance monitoring & testing
- Examination readiness
- Regulatory reporting
- Compliance training
- Issue and complaint management

FRAMEWORKS

- Applicable federal and state regulations
- COSO
- NIST
- ISO 19600 / ISO 37301
- Regulatory guidance and exam manuals

TYPICAL CERTS

- CCEP · CRCM
- CAMS · CIA

6–10 yrs

Experience

Regulated

Industry focus

CCEP

Common cert

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