

ROLE REFERENCE SHEET

VP of Compliance

VP Compliance · Regulatory Compliance Program Leadership

The senior leader of the enterprise compliance program, owning policies, monitoring, regulatory change, and compliance reporting to leadership and the Board.

WHAT THE ROLE OWNS

- Enterprise compliance program
- Compliance policy framework
- Compliance risk assessment
- Monitoring & testing
- Regulatory change management
- Investigations & remediation
- Compliance training
- Board & executive reporting

FRAMEWORKS

- DOJ ECCP
- ISO 37301
- U.S. Federal Sentencing Guidelines
- COSO
- FFIEC

TYPICAL CERTS

- CCEP · CRCM
- CAMS · JD

10–15+ yrs

Experience

5+ yrs

Leading compliance

VP

Reports to CCO / GC / Board


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