



COMPLIANCE OFFICER Job Description

Department: Compliance
Reports To: Bryan Armendariz, SVP/ Chief Compliance & CRA Officer
Supervises: N/A
Status: Full Time, Exempt

Job Summary:

Compliance Officer is responsible for developing, implementing and administrating all aspects of the Bank's Compliance Management Program. This position plans, organizes and controls the Banks day to day administrative lending and operational compliance activities, collaborates with the Senior Vice President Compliance Officer in the overall administration of these directives for the bank. Participates in various committees, audits and examinations. Helps to advise in the staff training related to new hire and compliance. Helps compliance Committee advise Board of Directors, Executive Management and Bank personnel of emerging compliance issues and consults and guides the Bank in the establishment of controls to mitigate risk.

Collaborate with the Senior Vice President Compliance Officer to ensure that the institution is working in adherenceto governmental laws. Work closely with management and banking staff for obtaining the guarantee that the institutions policies are in keeping with the rules. The most important role of the compliance officer is to assist in overseeing the everyday function of the bank in order to ensure that suitable procedures are being followed.

Must have the ability to work with a team, strive to maintain a good teamwork ethic without constant supervision. Assist with projects subject to tight deadlines and communicate orally and writing in a clear, succinct and lucid manner, showing a solid understanding of compliance and risk management.

Key Results Areas:

The Compliance Officer is responsible to deliver the following:

- Supporting an already reliable compliance management system that ensures the bank operates in accordance with all applicable laws, regulation, and regulatory guidance;
- Support the current compliance management system, but also assist in proactively positioning the bank for success with respect to new laws, regulation, and regulatory guidance;
- Cooperative consultation with the bank's other functions to ensure that customers are well served while complying with all laws, regulation, and regulatory guidance.

Responsibilities and Duties:

- Help to Develop, administer and monitor a program that ensures the Bank's compliance with all applicable laws, regulations, and rules governing operations and product offerings.
- Researching, implementing, and managing the areas related to banking regulations, banking policies, public interest laws and consumer protection.
- Working closely with SVP Compliance Officer in the task of overseeing compliance policies and advising about risk management.
- Advising, overseeing and training bank staff on the matters of compliance procedures.
- Issuing investigations that are related to the possible noncompliance for ensuring that proper compliance and best practices are taking place
- Work with functional area leaders to make improvements to systems in order to correct any violations, deficiencies found, and prepare responses to audit reports for the Compliance Committee and Board of Directors.
- Review new products and corresponding marketing materials to ensure compliance.



**COMPLIANCE OFFICER
Job Description**

- Supervise record retention and disposal program
- Acting as one of the principle sources of contact with the external audit companies.
- Working closely with Human Resources help to develop an annual compliance training

Astra Bank is an Equal Opportunity Employer. The preceding job description has been designed to indicate the general nature and essential duties and responsibilities of work performed by employees within this classification. It may not contain a comprehensive inventory of all duties, responsibilities, and qualifications required of employees to do this job.

Please apply at www.astra.bank/careers

