

## **JOB TITLE: CHIEF COMPLIANCE OFFICER**

---

Location: Norwalk, CT

Type: Exempt/Officer

---

### **Position Summary:**

Responsible for overseeing and managing all compliance-related activities within the organization and administering all aspects of the Bank's Compliance Management Program. This includes developing and implementing policies and procedures designed to ensure compliance with all relevant laws and regulations; managing risk; and fostering a culture of compliance. Serve as the Bank's Identity Theft Officer, Privacy Officer and ADA Coordinator.

### **Qualifications Required:**

- Four-year Business Degree or banking experience equivalent
- Minimum five years' experience and knowledge of Federal and State consumer compliance regulations
- Management or supervisory experience
- Proficient in Windows Office applications, Word, Excel, PowerPoint and Outlook

### **Qualifications Desired:**

CRCM (Certified Regulatory Compliance Manager)

### **Essential Functions and Responsibilities:**

- Ensure compliance with all lending and deposit Federal and State consumer compliance banking laws and regulations and adherence to Bank policies and procedures
- Serve as the Chairperson of the Management Compliance Committee -quarterly meetings to disseminate regulatory changes; review violations, findings; review future reviews, examinations, and risk assessments; training efforts, reported complaints, etc.
- Oversee regulatory change management (RCM) by monitoring regulatory changes, determine impact on existing banking activities and update and implement the necessary controls, policies, procedures and training to ensure ongoing compliance
- Collaborate with compliance consultants on compliance monitoring schedule, annual enterprise-wide compliance risk assessment, monitoring reviews and other risk assessments
- Report compliance violations or related issues to the Audit and Compliance Committee of the Board of Directors and Senior Management
- Ensure corrective actions to resolve weaknesses identified during: regulatory examinations, compliance monitoring reviews; risk assessments; and internal reviews have been implemented
- Conduct compliance-related risk assessments, including the annual Fair Lending Risk Assessment

## **JOB TITLE: CHIEF COMPLIANCE OFFICER**

---

Location: Norwalk, CT

Type: Exempt/Officer

---

### **Page 2 of 2**

- Liaison with internal audit firm on compliance related audits including CMP, UDAAP, Reg O audits
- Oversee the internal monitoring reviews conducted by the Compliance Department.
- Coordinate and prepare for the OCC Safety and Soundness Exam and Fair Lending Risk Assessment
- Maintain the Bank's Consumer Complaint Management policy, respond to substantive complaints, track substantive and non-substantive complaints, determine trends, follow-up actions, training, etc.
- Ensure compliance with Unfair, Deceptive or Abusive Acts or Practices Act, including but not limited to lending practices and marketing
- Work with the Bank's Marketing Director on all advertising, web sites and social media sites to ensure compliance with Marketing, Advertising and UDAAP rules and regulations
- Serve as a resource to the BSA Officer in maintaining the Bank's AML/OFAC Program
- Serve as a resource to the CRA Officer in maintaining the Bank's CRA Program, preparing for exams and performance evaluations. etc.
- Serve as a Member of the Bank's SAR Committee, CRA Committee, New Products Committee and ERM Committee
- Manage the Bank's Identity Theft Prevention Program and prepare annual report to the Board of Directors
- Ensure compliance with Privacy regulations and customer notification requirements
- Manage the Bank's ADA Program (Title III)
- Ensure compliance to FDIC Insurance and Advertising rules, Escheat laws (All States), Record Retention requirements, Elder Abuse/Exploitation laws, etc.

**Salary Range: \$100,000—\$150,000 annually**