<table>
<thead>
<tr>
<th>CLASSIFICATION SERIES:</th>
<th>Compliance Analyst</th>
<th>SERIES NO.:</th>
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</thead>
<tbody>
<tr>
<td>MAJOR AGENCIES:</td>
<td>Treasurer of State only</td>
<td>EFFECTIVE DATE:</td>
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<td>02/19/2006</td>
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**SERIES PURPOSE:** The purpose of the compliance analyst occupation is to identify, measure & monitor operational risk associated with the custody of investments of the State of Ohio & custodial funds & monitor all funds invested by the Office of the Treasurer of State for compliance with investment policies.

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<th>CLASS TITLE</th>
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<th>PAY RANGE</th>
<th>EFFECTIVE</th>
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<tbody>
<tr>
<td>Compliance Analyst 1</td>
<td>66541T</td>
<td>31</td>
<td>02/19/2006</td>
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**CLASS CONCEPT**  The full performance level class works under general supervision & requires considerable knowledge of financial instruments, operating procedures, applicable trust-related agreements & State investment policies in order to review, identify, analyze & monitor operational risk associated with custody of investments for compliance with all applicable rules & regulations & best practices & monitor compliance of State investments to State investment policies.

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<tr>
<td>Compliance Analyst 2</td>
<td>66542T</td>
<td>32</td>
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**CLASS CONCEPT**  The advanced level class works under direction & requires thorough knowledge of financial instruments, applicable trust-related agreements, State investment policies & operating procedures in order to act as lead worker over lower level compliance analysts, provide training & guidance in review, identification, analysis & monitoring of operational risk associated with custody of investments, monitor compliance of State investments to State investment policies & participate in development of policies & procedures to promote operational efficiencies between Treasurer of State’s Office, custodial agencies & banking organizations.
JOB DUTIES IN ORDER OF IMPORTANCE: (These duties are illustrative only. Incumbents may perform some or all of these duties or other job-related duties as assigned.)
Reviews, identifies, analyzes & monitors operational risk associated with custody of investments (i.e., multi-billion dollar accounts trading vast sums of assets daily) for state agencies to ensure that transactions comply with all applicable rules & regulations, operating procedures & applicable trust-related agreements & in conjunction with higher level compliance analyst, makes appropriate recommendations to management regarding identified areas of potential non-compliance & monitors compliance of State investments to State investment policies & facilitates resolution of identified areas of potential non-compliance.

Maintains ongoing, daily contact & discussion with investment bankers & account administrators or their representatives to monitor, explain & clarify proper investment transaction procedures, attends meetings with investment bankers & account administrators &/or their representatives to assist in explanation, interpretation & development of procedures & policies concerning account management (e.g., processing time frames, introduction of new investment options/instruments, custody requirements, global investment authority) & makes site visits to banks to ensure that custodial duties are being performed in compliance with Treasurer of State guidelines.

Participates in ongoing professional development (e.g., reads financial/business trade publications; attends seminars, meetings & conferences; monitors current market & business trends); completes special projects as assigned.

MAJOR WORKER CHARACTERISTICS:
Knowledge of finance; accounting; banking & investment law*; rules & regulations governing investments trading* (e.g., Ohio Revised Code; nuances of global trading (e.g., multiple time zones, foreign currency rate calculations, tax rates, treaties governing tax rebates); public relations. Skill in operation of personal computer & calculator. Ability to deal with many variables & determine specific action; make important decisions where timing is critical; define problems, collect data, establish facts & draw valid conclusions; gather, collate & classify data.

(*)Developed after employment.

MINIMUM CLASS QUALIFICATIONS FOR EMPLOYMENT:
Completion of undergraduate core program in business administration, accounting or finance; 12 mos. exp. in investments, financial management &/or trusts; 2 courses or 6 mos. trg. or 6 mos. exp. in accounting/auditing; 6 mos. exp. in operation of personal computer; 3 mos. trg. or 3 mos. exp. in public relations.

-Or equivalent of Minimum Class Qualifications for Employment noted above.

TRAINING AND DEVELOPMENT REQUIRED TO REMAIN IN THE CLASSIFICATION AFTER EMPLOYMENT:
Not applicable.

UNUSUAL WORKING CONDITIONS:
Requires travel; works in high security area; work requires use of personal computer up to 6 hrs. per day.
**JOB DUTIES IN ORDER OF IMPORTANCE** (These duties are illustrative only. Incumbents may perform some or all of these duties or other job-related duties as assigned.)

Acts as lead worker over lower level compliance analysts, provides training & guidance in review, identification, analysis & monitoring of operational risk associated with custody of investments & monitoring of compliance of State investments to State investment policies, participates in development of policies & procedures to promote operational efficiencies between Treasurer of State's Office, custodial agencies & banking organizations.

Reviews, identifies, analyzes & monitors operational risk associated with custody of investments (i.e., multi-billion dollar accounts trading vast sums of assets daily) for state agencies to ensure that transactions comply with all applicable rules & regulations, operating procedures & applicable trust-related agreements & makes appropriate recommendations to management regarding any identified areas of potential non-compliance; monitors compliance of State investments to State investment policies & facilitates resolution of potential non-compliance.

Maintains ongoing, daily contact & discussion with investment bankers & account administrators or their representatives to monitor, explain & clarify proper investment transaction procedures, attends meetings with investment bankers & account administrators &/or their representatives to assist in explanation, interpretation & development of procedures & policies concerning account management (e.g., processing time frames, introduction of new investment options/instruments, custody requirements, global investment authority) & makes site visits to banks to ensure that custodial duties are being performed in compliance with Treasurer of State guidelines.

Participates in ongoing professional development (e.g., reads financial/business trade publications; attends seminars, meetings & conferences; monitors current market & business trends); completes special projects as assigned.

**MAJOR WORKER CHARACTERISTICS**
Knowledge of finance; accounting; banking & investment law*; rules & regulations governing investments trading* (e.g., Ohio Revised Code; nuances of global trading (e.g., multiple time zones, foreign currency rate calculations, tax rates, treaties governing tax rebates); employee training & development*; public relations. Skill in operation of personal computer & calculator. Ability to deal with many variables & determine specific action; make important decisions where timing is critical; define problems, collect data, establish facts & draw valid conclusions; gather, collate & classify data.

(*)Developed after employment.

**MINIMUM CLASS QUALIFICATIONS FOR EMPLOYMENT**
Completion of undergraduate core program in business administration, accounting or finance; 24 mos. exp. in investments, financial management &/or trusts; 4 courses or 12 mos. trg. or 12 mos. exp. in accounting/auditing; 6 mos. exp. in operation of personal computer; 6 mos. trg. or 6 mos. exp. in public relations.

-Or 12 mos. exp. as Compliance Analyst 1, 66541T.

-Or equivalent of Minimum Class Qualifications for Employment noted above.

**TRAINING AND DEVELOPMENT REQUIRED TO REMAIN IN THE CLASSIFICATION AFTER EMPLOYMENT**
Not applicable.

**UNUSUAL WORKING CONDITIONS**
Requires travel; works in high security area; work requires use of personal computer up to 6 hrs. per day.