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# Example of Control & Compliance Job Description

Our company is growing rapidly and is looking for a control & compliance. To join our growing team, please review the list of responsibilities and qualifications.

## Responsibilities for control & compliance

* Maintain and enhance the Company's Internal Control Framework
* Review execution of controls on a periodic basis
* Support to the development and execution of control self-assessment programs (302)
* Support timely and effective remediation of control deficiencies
* Liaise with key stakeholders - as Audit Services, SOX team
* Act as the single point of contact on site for ICFR training and consultancy
* Prepare project plan detailing all steps that R&C team will perform as part of involvement in project
* Review of process flows and highlight risks and current controls
* Interview key stakeholders and identify risks (focus on financial reporting risks)
* Prepare risk assessment report

## Qualifications for control & compliance

* Experience facing off to regulators
* Strong organisational and project management skills and attention to detail
* Ability to manage multiple open issues and projects at the same time and meet timely deadlines
* Ability to apply and build knowledge of regulations to numerous types of sales, trading, research and banking activities and transactions in addition to interpreting the effect of restrictions on these activities
* Minimum of 3 – 5 years of experience with a financial services firm in a Compliance (preferably Control Room, Research or both) role
* Working knowledge of Japan securities rules and regulations, especially those of the FIEA and JSDA