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# Example of Controls Associate Job Description

Our innovative and growing company is looking to fill the role of controls associate. Please review the list of responsibilities and qualifications. While this is our ideal list, we will consider candidates that do not necessarily have all of the qualifications, but have sufficient experience and talent.

## Responsibilities for controls associate

* Assisting with the coordination of timely and quality completion of the template
* Initial documentation of Company processes and procedures utilizing narratives, flow-charts and control matrices
* Performing walkthroughs for key SOX processes and evaluating the current state of controls while suggesting future state controls
* Assists in executing the annual SOX Plan and timeline facilitating deliverables to Management and 3rd parties as required within targeted timelines
* Executes and documents results and conclusions for interim and year-end internal control testing procedures
* Assists with developing suggestions for management’s remediation plans, monitoring status of remediation and performing follow up testing for any remediated controls
* Regulatory reporting for broker/dealers
* Market-making stock loan borrowing
* Reviews, controls, and automation efforts
* Participation on new business development committee

## Qualifications for controls associate

* Proficient in MS Office tools and Web applications
* Fluent in English language, second European foreign language will be an asset
* Experience in SOX testing, Risk & Control Self Assessment (RCSA), Internal Audits, Process Risk Reviews for Trading Products & valuation process
* Experience working with Treasury teams, banks with regards to outgoing payments
* Fluent in English language, Russian will be an asset
* University’s degree in Finance or similar would be an advantage