



Example of Associate, Auditor Job Description

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Our growing company is hiring for an associate, auditor. We appreciate you taking the time to review the list of qualifications and to apply for the position. If you don't fill all of the qualifications, you may still be considered depending on your level of experience.

Responsibilities for associate, auditor

- Perform continuous monitoring of key risks and controls through on-going relationship management
 - Initiate and deliver agreed initiatives to achieve continuous improvement
 - Maintain up to date awareness of relevant regulatory and statutory environment
 - Demonstrate commitment to, and compliance with, applicable laws and regulations, the Company's Ethics and Compliance Code, and other Company policies and procedures
 - Review and respond to correspondence on mail audits within their letter of authority
 - Conduct interviews with management regarding the risks being managed by business unit
 - Assist in presenting findings and recommendations to business unit management
 - Maintaining professional relationships with all managers and staff of entities being audited, other staff who are providing information required by audit
 - Adhering to all professional ethical standards required for internal auditors
 - Reviews operational and business risk, functions and activities, and evaluates client controls – including financial reporting controls for Sarbanes-Oxley compliance - in order to determine and recommend nature, scope, and direction of proposed audits
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- 3+ years of previous Audit experience (Financial
- Must be a team-player possess the ability to work independently
- Senior broker & Futures and Options license are required
- Write and submit summaries of research findings to project manager and/or government
- Product knowledge / experience with either Wholesale/Corporate Lending
- Exposure to Deposit and Lending