



Example of CAO Operations Job Description

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Our company is looking to fill the role of CAO operations. 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 CAO operations

- Manage Alert Operations Controls work-streams, including being the point person and coordinator for Risk and Control Self assessments, Internal and External Audits, GFCC Compliance Testing, OCC & other regulatory exams, and Change Management programs
- Manage and facilitate client due diligence
- Provide Front Office stakeholders with necessary KYC documentation to complete
- Keep minutes and establish/manage action logsProblem solving and general liaising with the KYC Case Lead
- Liaise with other KYC due diligence teams
- Performing due diligence on client KYC profiles
- Research using public and internal resources
- Update clients' KYC records to regulatory and internal standards
- Update internal reference data systems
- Ensure no discrepancies exist on client record

Qualifications for CAO operations

- Ability to use Photoshop
- Confident and authoritative manner of carrying oneself (Executive presence)
- Core KYC skills
- Focused on continuous professional improvement

