



Example of Capital Markets Operations Job Description

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Our company is growing rapidly and is looking to fill the role of capital markets operations. To join our growing team, please review the list of responsibilities and qualifications.

Responsibilities for capital markets operations

- Work as part of a team handling Voluntary Corporate Action events for a major broker-dealer
- Corporate Action events include, but are not limited to, tender offers (prorated and with consents), exchanges, conversions, rights, warrants, ADR cancellations, Dutch auctions, puts, consents, UIT in-kind distributions, and elections
- Elections will be submitted for securities in book-entry form, physical certificates
- Other responsibilities would include processing early CD redemptions due to death of holder, assisting in process improvement initiatives and process documentation
- Responsible for project level governance forums including steering committee meetings with Senior Management
- Work with Capital Markets PMO to Establish and enforce Project Management best practices within the group
- Identify, report, monitor and resolve CDN Clearing trade reconciliations/exceptions in a timely manner
- Follow up on any unresolved issues as needed
- Support team as the first point of contact for any escalations
- Cover any absences or vacations among team members

Qualifications for capital markets operations

- Take leadership roles on projects and provide valuable input with various working groups created to
- High degree of numeracy and aptitude for analytical examination of problems
- Demonstrate knowledge of loan agreements and related legal documentation
- Succinctly summarize issues and set out well thought-out solutions
- Ability to prioritise tasks appropriately, whilst operating within a high pressured environment