



Example of Operations Risk Control Job Description

Powered by www.VelvetJobs.com

Our company is growing rapidly and is searching for experienced candidates for the position of operations risk control. Thank you in advance for taking a look at the list of responsibilities and qualifications. We look forward to reviewing your resume.

Responsibilities for operations risk control

- Partner with process owners, team leaders, supervisors and managers to ensure alignment of scoring expectations
- Ensuring all the daily Client Money calculations are carried out according to FCA regulations and in a timely manner, working with Operations, Treasury, IT and Compliance
- In addition to the above daily processes, the team is responsible for the production of the month end reporting for Client Money and on-going program of process improvements and regulatory, systems and ad hoc changes
- Ensure thorough preparation for all meetings - this requires proactively requesting all materials in advance of meetings
- Deliver Quarterly Forecasts and annual Budgets
- Support ORC management and provide analysis on Financials and Headcount
- Maintaining stakeholder relationship with functional lines and external parties (Firm ORD, TIR, IAD, Compliance)
- Proactively identify control gaps and assist in remediating
- Assist in promoting risk culture through regular communication and sharing, risk identification and assessment, training, metrics and reporting, audit/ inspection coordination
- Manage and build out a global RCSA team

Qualifications for operations risk control

- This role has no line management responsibility, but the successful candidate will need to manage the large user group of the key AQUA system in order to get the answers needed to complete the daily functions
- The successful candidate will be a team player who works well face to face and remotely
- US Regulatory/Compliance experience (e.g., 15c3-1, 15c3-3)
- Knowledge of FINRA, NASD, NYSE and SEC Rules and Regulations
- Bachelors degree and a minimum 7 years Operational Risk Management experience, including program and strategy development
- Experience building and executing RCSA programs