



Example of Operations Risk Control Job Description

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Our innovative and growing company is hiring for an operations risk control. 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 operations risk control

- Participate in all aspects of the RCSA assessment lifecycle including but not limited to planning, substantiation/controls testing and issue/action plan reporting
- Partner with global and regional teams and stakeholders to deliver on the controls program office work streams (IAS, SLA, User Tools, Training, Business Resiliency, Change Management)
- Ensure regular updates on key control issues are communicated to the regional and global stakeholders
- Understand and comply with regional and regulatory requirements pertaining to CAO Operations
- Maintain ongoing positive relationships with management throughout the organization
- Manage multiple intra-day cutoffs to ensure asset transfer requests are approved prior to applicable market deadlines
- Showcase your attention to detail by conducting funding and risk analysis for high risk asset transfers and performing regulatory and risk related exception processing
- Monitor exceptions to identify trading activity requiring regulatory extensions and demonstrate a sense of urgency while working with internal teams to file by deadlines
- Use your inquisitive mindset to identify control weaknesses and inefficiencies, and participate in change management process for system enhancements

Qualifications for operations risk control

- Experience in technology related project
- Use of Microsoft Office suite, particularly excel and outlook (Intermediate level)
- CPA, CIA, CFE, CISA, or FRM preferred
- 3+ years public accounting, internal audit, risk management, or internal control experience with comprehensive knowledge of process analysis and control design techniques preferred
- TBSM/Capital markets knowledge, operational risk management experience and an understanding of the TDBG's Operational Risk Framework would be considered assets
- The role of Control Officer is aligned to the asset class / business line and forms part of a GM Operations Control Office function