



# Example of Regulatory Controller Job Description

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Our company is looking for a regulatory controller. To join our growing team, please review the list of responsibilities and qualifications.

## Responsibilities for regulatory controller

- Actively supporting strategically-focused business development with the stakeholders
- Developing propositions and tactics to exploit opportunities and alternative strategies based on sound analysis and commercial judgment
- Interacting with various teams from the bank regulatory agencies, including report analysts and examiners
- Managing relationships with colleagues in the financial reporting teams to ensure quality control and compliance with regulatory requirements
- Keeping abreast of regulatory developments and make strategic recommendations for process/control modifications and the oversight of their implementation
- Review and analyze the daily and monthly computations pursuant to SEC Rule 15c3-3
- Review and analyze various monthly reports for the firms FOCUS filing
- Review and analyze various reports for the firms Daily Net Capital Calculation pursuant to rule 15c3-1
- Review and analyze various reports and information received from Operations personnel
- Lead contact on issues and questions related to rules and regulations of the SEC, FINRA, CFTC and other regulatory agencies

## Qualifications for regulatory controller

- Review month-end General Ledger adjusting entries

- Interpret and guide internal clients on regulatory requirement
- Lead contact for all audits
- Submission of Regulatory Returns for Capital, Leverage, Liquidity and Asset Encumbrance obligations
- Quarterly (and ad hoc) internal capital forecast scenarios for ICAAP (including pillar 2b calculation), Going Concern