



Example of Regulatory Controller Job Description

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Our company is looking for a regulatory controller. 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 regulatory controller

- Assisting with the preparation of regulatory reporting presentations for the (FFIEC 041-Call Report, FFIEC 101, FR 2900, FR 2915, FR 2644, FR Y-8, FR2028, FR2420), ensuring that appropriate auditable documentation for all reports exists
- Interacting with process owners
- Perform reconciliations (direct/ indirect) to across Reg filings
- Accurate and timely reporting information to Senior Management, the Business Unit and externally to Regulatory bodies
- Partnership and supporting other Finance areas with their reporting requirements
- Establish and maintain relationships and proactive communication with internal customers
- Establish and manage a growing team to support reconciliation and control efforts within Global Regulatory Controllers
- Manage, motivate and develop staff to ensure performance and the achievement of individual staff goals
- Participate in preparing proformas and planning for registering entities under proposed swap dealer rules
- Assist in the coordination of the CCAR production calendar and present kick off presentation materials to relevant teams including Reg Reporting providers, treasury, and attestation leads to confirm process timeline and ownership of controls/attestations

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- Preparation, analysis, review of quarterly COREP reporting for one of the UK regulated entities, covering the Own Funds calculation
 - COREP/PRA regulatory returns knowledge
 - Strong communication skills are required and the candidate must work well in a team environment
 - Series 27 or Series 99 strongly preferred
 - Ability to research, verify and document business drivers deliver presentations on results in a clear and concise manner
 - Preparation, analysis, review of monthly and quarterly COREP Asset Encumbrance reporting for UK regulated entities