



Example of Regulatory Controller Job Description

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Our company is searching for experienced candidates for the position of 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

- Enhance reporting packs for key regulatory reviews, support the development of a globally-consistent consolidated view of regulatory information
- Preparation, analysis and review of various Capital calculation requirements (Market Risk, Leverage, Own Funds, Credit and Counterparty Risk), supporting weekly, monthly and quarterly reviews
- Investigate drivers of material movements in calculation variables impacting key reporting, interrogating systems and data, and liaising with other teams to understand root cause
- Work across reporting and calculation teams to explain and validate daily, monthly and quarterly variances in capital numbers, supporting the production of key internal and external regulatory reporting submissions
- Develop understanding and apply key Regulatory rules requirements to applicable products and calculations
- Identify, document and escalate and co-ordinate resolution of issues
- Challenge processes and procedures in order to enhance controls and streamline efficiencies
- Present COREP analysis to Senior Management to support their review and signoff, prior to submission to relevant regulator
- Seek ways to improve hand-offs and integration with other teams
- Assist in the coordination of the FFIEC 009, SNC, GSIB, TIC and Criticized Assets production including preparing and presenting due diligence decks as

Qualifications for regulatory controller

- Representation at Business Unit review meetings to validate reported numbers in the returns
- Very high focus on compliance with capital rules and ensuring accuracy of our calculations and reporting
- Experience with Basel III (Advanced and Standardized)
- Month-end reconciliation processes for Japan managed subsidiaries
- Strong knowledge of Japanese GAAP / USGAAP /broker dealer accounting /
- Minimum seven years of experience in the financial services industry