



Example of Regulatory Reporting Associate Job Description

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Our growing company is looking for a regulatory reporting associate. 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 reporting associate

- Monthly FOCUS filings under 15c3-1
- Weekly customer reserve protection calculation under 15c3-3
- Assess and drive remediation of current distributed operating processes
- Drive opportunities for consolidation and automation to alleviate risk profile of regulatory reporting regime
- Create operating model to transition core reports into BAU, chair regional regulatory reporting forum and streamline the signoff model for core reports
- Coordinate oversight and governance of MiFID I transaction reporting
- Conduct deep dive reviews into regulatory issues, ensure findings are properly tracked and resolved to drive reduction in regulatory risk
- Manage key stakeholder and client engagement including, Compliance, LOB contacts, Technology and Global Control
- Detailed business analysis/requirements definition embedding appropriate controls across our data and core capabilities streams of delivery
- Work with the Technology teams to review, identify, agree and implement appropriate control framework

Qualifications for regulatory reporting associate

- A flexible, organised, proactive attitude towards work with the ability to multi-task and prioritize workload

- The successful candidate is likely to have RAD experience within a Technology team and hold a Bachelor's degree in an academic or numerate subject
- Strong understanding of the trading life cycle (Orders, Executions, Allocations) and Operational Processes
- Preparing test scripts and manage user acceptance testing
- Strong ability to partner with colleagues in the business and other Federation teams to understand complex regulatory reporting requirements