



# Example of Regulatory Reporting Associate Job Description

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Our innovative and growing company is looking to fill the role of regulatory reporting associate. Thank you in advance for taking a look at the list of responsibilities and qualifications. We look forward to reviewing your resume.

## Responsibilities for regulatory reporting associate

- Investigate and work with other operations teams and technology to resolve exceptions associated with creation of the CFTRs
- Producing accurate, succinct, and tailored presentations for a range of stakeholders, including desk heads
- Create metrics for the tracking and analysis of the CFTR
- Review and analyze new business, rule changes or system changes that impact reporting processes and perform testing of these changes
- Document business requirements outlining changes to reporting processes as a result of new business activity, new or amended regulations, system changes
- Perform random sample testing of regulatory reporting processes to ensure accuracy and completeness
- Develop recommendations for process and control improvements
- Reg Sho, OATs, Electronic Blue Sheets, Short Interest, LOPR, Large Trader, (and others)
- Partner with Regulatory Operations Business Analysis and Control Teams to develop controls and execute analysis of regulatory reporting
- Project Management from end to end, including Planning, Business Requirement Documentations, User Assessment Testing, Go Live Preparation and Post Go Live Support

## Qualifications for regulatory reporting associate

- Preferred candidate will have at least 4 years of business experience in Operations, preferably working with Derivatives
- Sufficient business experience, including leading global projects and understanding the development lifestyle
- Ability to interact and communicate effectively with senior leadership and business sponsors
- Ability to effectively navigate and multi-task across a wide portfolio of work
- Results driven, have attention to detail, and skilled at diplomatically breaking down barriers and obstacles
- Ability to successfully navigate, influence, and lead collaboratively in a complex environment