



## Example of Risk & Controls Job Description

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Our company is searching for experienced candidates for the position of risk & controls. Thank you in advance for taking a look at the list of responsibilities and qualifications. We look forward to reviewing your resume.

### Responsibilities for risk & controls

- Compile the required documentation that supports our overall internal controls for financial reporting
- Assist with planning the annual process of evaluating the effectiveness of our key internal controls over financial transactions
- Provide advice and counsel to Field and Corporate Functions regarding governance and policy interpretation and internal control requirements
- Provide insights and identify trends in effectiveness of policy and controls through the analysis of RFA exemption process metrics and audit results
- Coordinate the submission, compilation and analysis and final approval recommendation of the Company's engagement of Ernst & Young in non-audit service activity
- Facilitate UAT of new models and model changes
- Monitoring status of audit and testing activities and providing updates to divisional leadership, facilitating interactions with auditors and testers as needed
- Tracking and driving the closure of key actions arising from Risk Events, Audits, Compliance Monitoring & Testing Reviews and NAPA
- Assist with annual schedule and planning related to audit reviews
- Coordinator of Training related to risk and audit for Brokerage Operations/Clearing Associates

### Qualifications for risk & controls

- Previous experience of working within in governance, risk and compliance role preferred
- Working knowledge of methods used to perform risk analysis, risk assessments, control assessments and audit management
- Working knowledge of risk and control frameworks and process improvement models a plus
- Experience in business process modeling techniques, including documenting process flows, narratives, presentations
- A minimum of 3 years of people management/leadership roles