



Example of VP, Audit Job Description

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Our company is looking to fill the role of VP, audit. We appreciate you taking the time to review the list of qualifications and to apply for the position. If you don't fill all of the qualifications, you may still be considered depending on your level of experience.

Responsibilities for VP, audit

- Jointly develop audit test steps with business functions' auditors and work with them to evaluate the design and operating effectiveness of end-to-end AML/CFT internal controls
- Partner with data scientists to automate audit tests and perform data analysis to identify key areas of money-laundering risk and to predict risky customers and risk events
- Liaise with businesses and control functions to ensure the Group Audit function is kept abreast of regulatory expectations and market developments relating to AML/CFT
- The candidate will be required to lead (Principal Auditor) and successfully deliver Technology audits, or participate in integrated Business and Technology audits, both locally and globally
- Conduct credit process audits of Corporate Banking, Private Banking and audit of the full suite of branch activities for International Branches
- Contribute to the development of Audit Services policies, strategy and direction
- Manage Audit Services' resources efficiently, economically and effectively
- Assist with preparation and presentation of reports to Audit Committees of Division subsidiary companies
- Creating supporting documentation to evidence proper governance in the area of Exam Management
- Develop a regulatory management engagement model internally within AFC

Qualifications for VP, audit

- Recognized Accounting qualification is desirable although not essential
- Robust knowledge of Trading operations, FX and derivative products, and regulations
- Experience reviewing complex trading processes to draw conclusions report findings
- Experience with software to query and review data such as Excel
- CPA or related certification is preferred
- A strong, comprehensive understanding of US, UK and EMEA global investment banking regulatory framework including but limited to Senior Manager's Regime, Market Abuse Directive, AIFMD, EMIR, MiFID II, Dodd Frank