

# *Discover* **100 JOB DESCRIPTIONS in** **RISK & COMPLIANCE** **MANAGEMENT**



***and what it takes  
to get hired.***

***Which factors matter.***

**1. Risk Managers and Professionals 2. Compliance Managers & Professionals 3. Sarbanes-Oxley Managers and Professionals 4. Basel ii Managers and Professionals 5. Solvency ii Managers & Professionals 6. Hedge Funds Risk Professionals 7. Members of the Risk Committee of the Board of Directors**

*Compliance LLC*

***George Lekatis***

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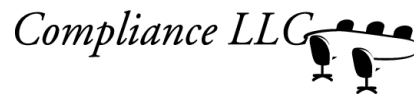
## About Compliance LLC

Compliance LCC is a leading provider of risk and compliance training and executive coaching in 36 countries ([www.compliance-llc.com](http://www.compliance-llc.com)).

In our team, we have experienced risk, compliance, IT and information security experts, litigation consultants, certified trainers, expert witnesses and lawyers.

George Lekatis is the General Manager of Compliance LLC.

George has more than 18,000 hours experience as a seminar leader. An internationally recognized risk and compliance management expert, George is an expert witness, qualified to investigate and testify about best practices, standards and due diligence.



## Excellent Courses, Exceptional Venues

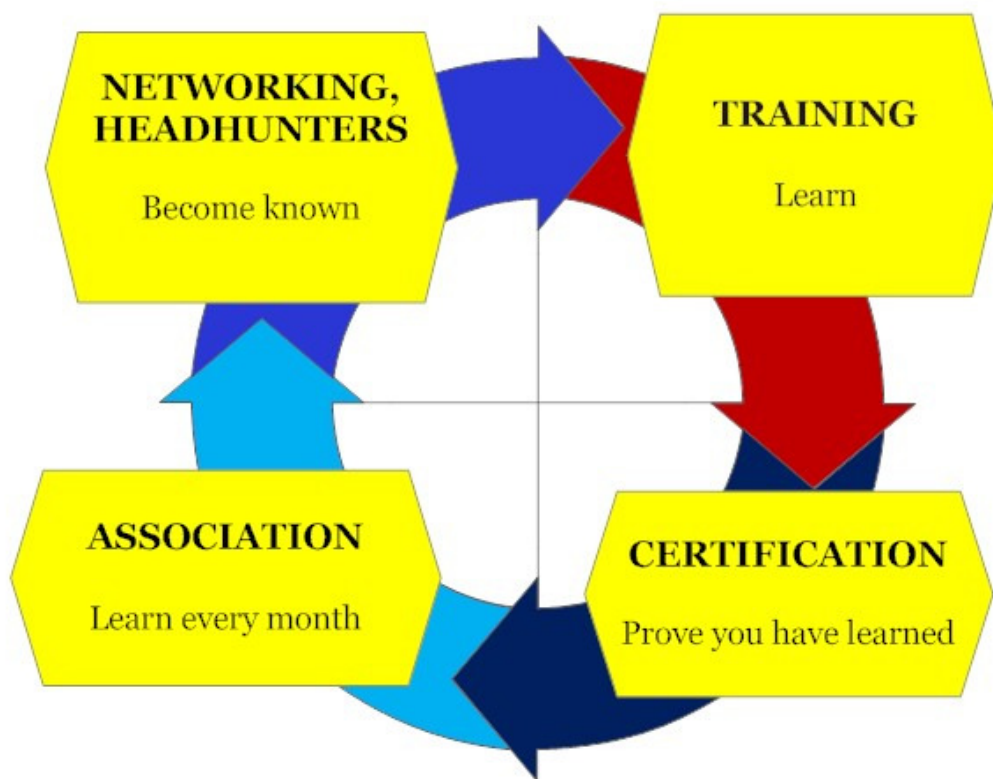
The role that the environment plays in learning, solving problems and thinking out of the box is often ignored. In terms of aesthetics and comfort, our venues are second to none.







### Our Business Model: Not Simply Training



## Associations and Certified Courses

### A. International Association of Risk and Compliance Professionals (IARCP)



#### A1. Certified Risk and Compliance Management Professional (CRCMP)

**Instructor Led** Prep Course (5 days)

**Distance Learning and Online Certification** Program



#### A2. Certified Information Systems Risk and Compliance Professional (CISRCP)

**Instructor Led** Prep Course (5 days)

**Distance Learning and Online Certification** Program



**More Information:**

**The Association**

[www.risk-compliance-association.com](http://www.risk-compliance-association.com)

## Distance Learning and Online Certification:

[www.risk-compliance-association.com/Distance Learning and Certification.htm](http://www.risk-compliance-association.com/Distance%20Learning%20and%20Certification.htm)

[www.risk-compliance-association.com/CISRCP Distance Learning and Certification.htm](http://www.risk-compliance-association.com/CISRCP%20Distance%20Learning%20and%20Certification.htm)

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## B. Basel ii Compliance Professionals Association (BCPA)

It is the largest Association of Basel ii professionals in the world



### B1. Certified Basel ii Professional (CBiiPro)

**Instructor Led** Prep Course (3 days)

**Distance Learning and Online Certification** Program



### B2. Certified Pillar 2 Expert (CP2E)

**Instructor Led** Prep Course (2 days)

**Distance Learning and Online Certification** Program



### **B3. Certified Pillar 3 Expert (CP3E)**

**Instructor Led** Prep Course (2 days)

**Distance Learning and Online Certification** Program



### **B4. Certified Stress Testing Expert (CSTE)**

**Instructor Led** Prep Course (3 days)

**Distance Learning and Online Certification** Program



**More Information:**

**The Association**

[www.basel-ii-association.com](http://www.basel-ii-association.com)

**Basel ii Distance Learning and Online Certification**

[www.basel-ii-association.com/Distance Learning Online Certification.htm](http://www.basel-ii-association.com/Distance_Learning_Online_Certification.htm)

[www.basel-ii-association.com/Distance Learning Online Certification CP2E.htm](http://www.basel-ii-association.com/Distance_Learning_Online_Certification_CP2E.htm)

[www.basel-ii-association.com/Distance Learning Online Certification CP3E.htm](http://www.basel-ii-association.com/Distance_Learning_Online_Certification_CP3E.htm)

[www.basel-ii-association.com/Distance Learning Online Certification CSTE.htm](http://www.basel-ii-association.com/Distance_Learning_Online_Certification_CSTE.htm)

## **C. Sarbanes Oxley Compliance Professionals Association (SOXCPA).**

It is the largest Association of Sarbanes Oxley professionals in the world



### **C1. Certified Sarbanes Oxley Expert (CSOE)**

**Instructor Led** Prep Course (3 days)

**Distance learning and online certification** program



### **C2. Certified EU Sarbanes Oxley Expert (CEUSOE)**

**Instructor Led** Prep Course (3 days)

**Distance learning and online certification** program



**More Information:**

**The Association**

**[www.sarbanes-oxley-association.com](http://www.sarbanes-oxley-association.com)**



## Distance Learning and Online Certification

[www.sarbanes-oxley-association.com/Distance Learning and Certification.htm](http://www.sarbanes-oxley-association.com/Distance_Learning_and_Certification.htm)

[www.sarbanes-oxley-association.com/CEUSOE Distance Learning and Certification.htm](http://www.sarbanes-oxley-association.com/CEUSOE_Distance_Learning_and_Certification.htm)

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## D. International Association of Potential, New and Sitting Members of the Board of Directors (IAMBD)



### D1. Certified Member of the Board of Directors (CMBD)

**Instructor Led** Prep Course (3 days)

**Distance Learning and Online Certification** Program



### D2. Certified Member of the **Risk Committee** of the Board of Directors (CMRBD)

**Instructor Led** Prep Course (2 days)

**Distance Learning and Online Certification** Program



### **D3. Certified Member of the Corporate Sustainability Committee of the Board of Directors (CMCSCBD)**



#### **More Information:**

#### **The Association**

[www.members-of-the-board-association.com](http://www.members-of-the-board-association.com)

#### **Distance Learning and Online Certification**

[www.members-of-the-board-association.com/Distance Learning and Certification.htm](http://www.members-of-the-board-association.com/Distance%20Learning%20and%20Certification.htm)

[www.members-of-the-board-association.com/Distance Learning for the Risk Committee of the Board.htm](http://www.members-of-the-board-association.com/Distance%20Learning%20for%20the%20Risk%20Committee%20of%20the%20Board.htm)

[www.members-of-the-board-association.com/Distance Learning for the Sustainability Committee of the Board.htm](http://www.members-of-the-board-association.com/Distance%20Learning%20for%20the%20Sustainability%20Committee%20of%20the%20Board.htm)

## E. International Association of Hedge Funds Professionals (IAHFP)



### E1 Certified Hedge Fund Compliance Expert (CHFCE)

**Instructor Led** Prep Course (5 days)

**Distance learning and online certification** program



**More Information:**

**The Association**

[www.hedge-funds-association.com](http://www.hedge-funds-association.com)

**Distance Learning and Online Certification**

[www.hedge-funds-association.com/Distance Learning and Certification.htm](http://www.hedge-funds-association.com/Distance_Learning_and_Certification.htm)

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## F. Solvency ii Association

The largest Association of Solvency ii professionals in the world



### F1. Certified Solvency ii Professional (CSiiP)

**Instructor Led** Prep Course (3 days)



### F2. Certified Solvency ii Equivalence Professional (CSiiEP)

**Instructor Led** Prep Course (3 days)



**More Information:**

**The Association**

[www.solvency-ii-association.com](http://www.solvency-ii-association.com)

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**THIS REPORT HAS BEEN DEVELOPED: JANUARY 2010**

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## 1. Risk Managers and Professionals

### Job Description 1:

#### **Risk Senior Manager**

Executive Job Title: Risk Senior Manager

Location: Philadelphia

Compensation: \$100,000 to \$200,000

### **Job Description**

Leasing subsidiary of a national commercial products firm is seeking a **Senior Manager of Dealer Business Risk Management**.

The senior manager will **manage and control the tactical coordination of all credit processing and risk assessment activities** for the regional commercial finance company.

The strategic focus involves the proper assessment of **credit risk** resulting in an acceptable level of budgeted bad debt while protecting the company's assets, both in the near and long term.

### **Responsibilities:**

- Responsible to ensure that Dealer Business Risk Managers, Dealer Business Coordinators and Dealer Business Documentation Specialists are executing credit and documentation decisions.
- Responsible to recommend credit authority increases to the Sr. Director of Risk.
- Creates, initiates, implements and facilitates best in class customer service to Dealers and customers.
- Overall responsibility for the staffing, development and training process of all Risk Department Team members.
- Ability to make sound, factual based timely decisions.

## Qualifications

- Bachelor's degree in a related area and equivalent work experience
  - Ten years of industry experience with at least **five years in a management role.**
  - Experience in the equipment leasing industry
  - **Credit risk experience**
  - Superior Relationship, **Documentation and Credit Underwriting skills.**
  - Team player with a high energy, positive outlook and professional demeanor who takes initiative.
  - Ability to multi-task and manage expectations.
  - Ability to manage a diverse cross functional team.
- 

## Job Description 2:

### **Risk Analyst - EU Headquarters**

Type: Full-time

Experience: Associate

Functions: Information Technology

Industries: Internet

## Job Description

This position is based in our EU Headquarters in Dublin, Ireland.

The Risk Analyst will provide **critical support to the Payment Operations, Risk and Credit Management teams.**

Your core responsibilities will be largely focused around **protecting the firm from various forms of risk and fraud by reviewing transactions and accounts.**

Specialists will also work closely with client service representatives and various engineering teams.

### Responsibilities:

- **Identify and track current fraud trends** by reviewing accounts and transaction content and quality.
- Respond to inquiries from external parties by email and phone with designated service levels.
- Collaborate with internal and external counsel for case investigation.
- Assist on internal projects and support with client services and engineering.
- Recommend anti-fraud processes and system enhancements based on trends and patterns.

### Requirements:

- Top academic performer with a bachelors degree or equivalent.
  - **Experience in risk management, fraud investigation, chargeback representation, or law enforcement.**
  - Knowledge of credit card processing, payment fraud prevention techniques, and e-commerce procedures.
  - **Strong fraud investigation, legal and/or financial systems background.**
  - Hard working, detail-oriented, and well organized.
  - Ability to manage numerous projects simultaneously under deadline pressure.
  - Excellent communication and presentation skills.
-

### **Job Description 3:**

#### **Senior Manager, Information Security Risk**

Type: Full-time

Experience: Mid-Senior level

Functions: Information Technology

Industries: Banking

#### **Job Description**

Secure a high-profile position with one of the world's most respected banks.

Now is your time to take advantage of an excellent opportunity.

We're looking for a **technical expert to enhance the security architect function within our core products** and will be responsible for the end-to-end security architecture of applications, technologies and services.

You will work with security and architecture peers throughout the globe giving you the chance to make the most of your leadership skills in a fast-paced environment.

#### **Responsibilities include:**

Implementing the security program's risk and control framework and global IT risk strategy

Ensuring the program is effectively integrated into our product development and delivery methodology

Participating in local and global discussions to formulate new or enhance existing security processes, policies and standards

#### **Minimum qualifications:**

A bachelor's degree or equivalent experience

8-10 years of progressive experience in an IT role (experience should include at least 5 years working with security products)

Prior experience managing multiple resources

A working knowledge of multiple technical disciplines and analytic and quality assurance techniques

## Skills

Our ideal candidate will have:

CISSP, CISA, SANS, GSEC, GCIAH or CCNP certification

Previous experience with security services integration, including authentication, authorization, encryption and auditing

An understanding of enterprise and solutions architecture concepts as well as service-oriented architecture (SOA) methodology

Solid technical and architecture skills within the IT security area

Demonstrated experience in a core business area within a financial institution

Familiarity with cross-site scripting, SQL injection, buffer overflows and format string bugs

Excellent communication, leadership, project management, problem-solving and decision-making skills

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## Job Description 4:

### **Risk Business Analyst**

Type: Full-time

Experience: Mid-Senior level

Industries: Financial Services



The Business Analysis team is responsible for analyzing business users' requirements and presenting these in a detailed form to either an in-house development team or an external 3rd party software house.

The team member will be involved in development projects from inception through to QA and user training.

## **Skills**

### **REQUIRED SKILLS**

Business Analyst responsibilities include:

- Liaison with Business users to prepare Functional specifications
- Generate project management documents
- Preparing high-level user requirements to assist in preparation of Project Initiation Documents
- Translation of business requirements and functional needs into business / reporting and system specifications
- Ensuring technical specifications meet the stated needs of the business
- Authoring of User Guides for in-house developed systems
- Provide User Training for in-house developed systems
- Participate in testing/QA activities with the QA team
- Having an awareness of the IT Architecture Group's strategic aims
- Liaison with the PMO for project reporting etc
- Liaison with the other Controls, Support and Infrastructure teams

### **QUALIFICATIONS**

- Strong knowledge of Risk with a an emphasis on Market Risk
- Understands VaR, greeks, risk measures

- Good knowledge of Credit risk concepts, capital markets, brokerage, financial services industry
  - Experience in implementing Risk management systems
  - Experience in requirements gathering, designing, testing, and deploying technology solutions within a risk management area
  - Excels at multitasking with unwavering attention to details
  - Strong analytical and problem solving skills
  - Ability to handle diverse workload, tight schedules and endurance to survive and deliver in a fast-paced, demanding environment
  - Excellent communication, presentation, interpersonal, and organizational skills
  - Bachelor's degree. MBA a big plus.
- 

### **Job Description 5:**

#### **Market Risk, Credit Risk and Operational Risk - Banking and Insurance - Global Consultancy**

Location: UK-London

Compensation: £45k - £120k base + benefits

Position Type: Permanent

Employment type: Full time

Our client is one of the most prestigious management consultancies in the world and they are seeking to hire a number of Risk Management experts (Operational Risk, Credit Risk, Market Risk, IT Risk).

FS is split into 3 sub-industry sectors:

1.Capital Markets/Investment Banking

2.Retail Banking

3. Insurance

We are looking for candidates with **one of more of the following:**

- Analytical skills and knowledge of **quantitative risk management approach, eg, economic capital, operational, credit and market risk**

- **Enterprise Risk Management**

Experience of: internal audit, IIA, COSO, data analytics, computer assisted audit techniques (CAATs), continuous control monitoring (CCM), financial statements, SOX, 404, internal controls, financial reporting, fraud and IFRS

- **Asset Management Risk**

- Experience within **Financial Services and Regulatory and Risk Management**

- **Exposure to FSA**

- **Market risk modelling (VaR modeling, Stress Testing, Back Testing, risk sensitivities and scenario analysis) and / or knowledge of Asset and Liability modeling**

- **Basel II Internal Ratings Based approach (IRB) and its implementation**

- **Liquidity management – Stress Testing, VaR and ICAAPs**

- **Derivatives – OTC derivatives, Credit Derivatives, Exchange-Traded Derivatives, CDO's, CMO's, Options, Futures, Swaps**

- **Prudential regulation**

- **Basel II**

- **Solvency II**

- **Expert is either Operational Risk, Marketing Risk, or Credit Risk**

- **IT Risk Management & IT governance**

- **Credit Risk** - risk parameters, quantifying exposures or losses, and modeling economic capital

This is a fantastic opportunity to contribute to the future growth of a practice and work with a broad range of clients in Financial Services for one of the world's leading management consultancies.

It also offers **the opportunity for candidates to work at a senior level with leading banks and insurance firms** with exposure to front office thus accelerating your career in this sector.

We have over 40 roles in ALM, Capital Mgt, Basel II, Operational Risk, Credit Risk, Market Risk, Solvency II, Liquidity and Risk Technology

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### **Job Description 6:**

#### **Java developer for risk management systems**

This hugely prestigious **Tier 1 Bank** is seeking a computing guru (Java) to work in a fast-paced environment among highly academic and credible individuals.

You will have a proven track record as a **senior hands-on developer** and will be comfortable combining hands-on technical and team leadership of the multi-tier Risk systems.

The role will involve close interaction with the global GUI team and other business teams throughout the bank and end users - the traders - as new efforts are designed, developed, tested and rolled out.

Though knowledge of equity derivatives risk management is preferred, applications from candidates with the skill sets described below, keen to learn about this exciting growth area and looking to make a career move into a more business-focused role are welcome. The successful risk systems technologist (Java) will exhibit the following talents;

Experience in building multi-tier Java systems

Experience in working in a Front Office environment

Excellent communication skills

C#/C++ experience is beneficial

Experience in Front Office risk management systems is beneficial

Experience in interests rates market data is preferred but not essential

Knowledge of **equity derivatives risk management** is preferred but not essential.

Above all, raw talent and exceptional C# programming and team lead skills are a must. This is a client facing role and frequent interaction with business users and technologists across the firm will be required, therefore you must have excellent communication skills.

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### **Job Description 7:**

#### **Information Systems Security Manager**

Location: Pennsylvania

Compensation: \$100,000 to \$200,000

Executive Job Description: Information Systems Security Manager

#### **Basic Responsibilities**

To take responsibility for the **ongoing development, implementation, documentation and auditing of Information Security Plan** for all companies and sites.



Be the liaison between the company and the US Government Security Agencies with regard to the technical aspects of the security plans as relates to Information and Communications systems.

-To co-ordinate I.T activities across all USA, subsidiary, company sites.

-Will need to work closely with the company subsidiary Facilities Security Officers

-Will need to, work closely, with I.T Managers and I.T personnel, at all U.S sites.

-Publish a Quarterly Audit Summary Report detailing security related activities, audits and incidents.

Plan and other security documents and agreements including:

Develop, document and maintain an I.T Security plan detailing

Network and systems configurations

Data classification levels and the formal procedures required to grant user access to such data.

Maintain a catalogue of actual and perceived threats, with risk assessments, required incident response and corrective actions.

A certification that all computer systems comply with the requirements of the protection level and levels of concern.

Develop, document and present Information Systems security education, awareness and training activities for management and Information Systems support personnel and users.

The candidate will have been responsible for or part of the Compliance based I.T Security function in a corporate manufacturing business.

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## Job Description 8:

### Information Security Consultant

Salary: 50K + Excellent benefits package

Job type: Permanent

My client is Europe's **leading provider of Information Security Management Solutions**.

They provide a range of services from achieving **ISO27001** compliance /certification for clients to high quality and cost-effective training in information security management systems, business continuity management, risk management, **PCI DSS, data protection and ISO20000 (ITIL)**.

### THE ROLE

They are currently looking for an experienced consultant to provide on and off-site consultancy and support to clients in developing and implementing information security management processes and procedures.

The successful candidate will be required to identify client requirements, conduct management and technical assessment of compliance and risk, and work with clients to develop and apply information security processes and controls to meet the needs of the client, including achieving compliance and/or certification Information Security standards such as **ISO27001, PCI and BS25999**.

Additionally, the successful candidate will also be required to provide expertise and support in operational risk, governance, business continuity, data leakage and privacy.

### RESPONSIBILITIES

- Working as **project lead with clients on Information Security projects**
- **Liaising with client management** at all levels, presenting results and co-ordinating client work and requirements

- **Conducting compliance & risk assessments**
- **Conducting and documenting audits of client compliance to industry standards**
- **Documenting** project plans, action plans, presentations and project results for clients
- Define & produce client **policies, procedures, processes & other documentation as required**

## **REQUIREMENTS**

- Excellent communication and presentation skills at all levels
- A good understanding and background in IT technologies and practices
- Experience in ISO27001
- Business Continuity
- Ability to work with a degree of independence on client projects with clients
- Good knowledge of Information Security across a range of business as well as technologies
- Proven experience in building and maintaining exceptional relationships with Clients
- Willingness to travel

In addition, experience in the following would be desirable:

- ISO27001 lead audit training
- CISSP
- Policy Authoring
- Knowledge of ITIL / ISO20000, PCI DSS, ISO25999

37.5 hours per week, Monday to Friday

## **Job Description 9:**

### **IT Security Consultant (ISO27001, BS25999)**

We are currently looking for an experienced consultant to provide on and off-site consultancy and support to clients in developing and implementing **information security management processes and procedures**.

The successful candidate will be required to identify client requirements, conduct management and technical assessment of compliance and risk, and work with clients to develop and apply information security processes and controls to meet the needs of the client, including achieving compliance and/or certification Information Security standards such as **ISO27001, PCI and BS25999**.

### **RESPONSIBILITIES**

- \* Working as project lead with clients on Information Security projects
- \* Liaising with client management at all levels, presenting results and co-ordinating client work and requirements
- \* **Conducting compliance & risk assessments**
- \* **Conducting and documenting audits of client compliance to industry standards**
- \* Documenting project plans, action plans, presentations and project results for clients
- \* Define & produce client policies, procedures, processes & other documentation as required
- \* Support further business opportunities in future projects

### **REQUIREMENTS**

- \* Excellent communication and presentation skills at all levels
- \* Excellent written and **documentation skills**
- \* A good understanding and background in IT technologies and practices

- \* Experience in **ISO27001**
  - \* Business Continuity
  - \* Ability to work with a degree of independence on client projects with clients
  - \* Good knowledge of Information Security across a range of business as well as technologies
  - \* Proven experience in building and maintaining exceptional relationships with Clients
  - \* Good team interaction and interpersonal skills
  - \* Willingness to travel
- 

### **Job Description 10:**

#### **Head of Risk Change, EMEA**

As a senior Risk Professional you will be responsible for **managing key EMEA Risk and Compliance Projects**.

Whilst each project will have a Sponsor, you will be responsible for the project management.

The Risk & Compliance team in EMEA is undergoing significant change resulting from business development and regulatory change.

This role is key to the successful change management within the team and reports directly to the Regional Chief Risk Officer.

As a senior Risk Professional you will be responsible for **managing key EMEA Risk and Compliance Projects**.

Whilst each project will have a Sponsor, you will be responsible for the project management.



This includes establishing the key objectives and milestones with the Sponsor, ensuring appropriate tracking of actions against deadlines, management of dependencies, appropriate resource recommendations and production of necessary documentation.

This will require a **full understanding of the project and its risk and regulatory objectives**. You will be able to draw on internal and external resources and need to effectively manage and communicate across multiple teams.

With considerable risk audit or related experience, a proven track record of mature and seasoned judgement and a strong academic background, you will play a key role in ensuring the development of the Risk and Compliance culture across the region.

Gaining detailed knowledge through each project, you will represent the Corporate Risk Management Group both internally and externally, including with regulators, at the highest levels.

At the heart of the key developments within the team, and by gaining detailed subject matter knowledge through the execution of the projects, **you will be well placed for career development within the wider Risk & Compliance functions**.

## **Principal Responsibilities**

- Manage projects as allocated by the EMEA Chief Risk Officer, developing detailed subject matter knowledge through the execution of the projects.
- Take ownership for the successful completion of projects by encouraging and influencing all participants.
- Be responsible for defining all aspects of the project including for example, key success factors, stakeholders, milestones etc.
- Ensure project sponsors are fully aware of progress, key issues and obstacles to success.
- Collation of views from all relevant parties and presentation to decision makers.

- Communicating effectively to ensure key stakeholders receive effective and efficient updates on Projects, and that key project risks and decision making issues are easily identified.
- Produce any necessary Management Information for specific projects and Regional oversight, including summary of all key projects in the region.
- Support senior Risk and Compliance Management in the identification, planning and execution of the Department's activities.
- Keeping up to date with existing/new regulatory developments, with responsibility for ensuring projects respond to those changes.
- Act as informal coach to Risk and Compliance Partners on project management where appropriate.
- Professional representation of Risk and Compliance at examination visits by NT's regulators, other 3rd parties and internally to oversight committees and Boards of Directors.
- Build effective internal and external networks that ensure awareness and application of project deliverables across the organisation.
- Work to deliver win-win solutions

## CORE COMPETENCIES

- Communication/Influencing
- Planning / Organising
- Technical Knowledge including
  - o Risk and Compliance
- Teamworking
- Problem Solving & Decision Making

## Additional COMPETENCIES

- Self Management / Motivation
  - Analytical / Intellect
  - Commercially Focused
- 

### Job Description 11:

#### IT Risk Manager

Type: Full-time

Functions: Information Technology, Management, Project Management

Industries: Financial Services

#### Responsibilities

Manage the implementation of all aspects of the **operating risk function**, including implementation of processes, tools and systems to **identify, assess, measure and monitor operating risk in the business lines**.

Assist in the development of and manage processes to identify and evaluate business areas' operating risks and risk and control self-assessments.

Manage the process for developing **operational risk policies and procedures, risk limits and approval authorities**. Monitor major and critical operating risk issues.

Manage the process for elevating control risks to more senior levels when appropriate.

Manage the **corporate operating risk and control assessment reporting process** as well as manage and maintain infrastructure elements (e.g. management reporting, including reporting to senior management Forums).

Be a leader in developing and improving management reporting.

Bachelor degree in Economics, Finance, Business or Accounting, or related discipline or an equivalent combination of education and experience from which comparable knowledge and skills may be acquired; and seven years of experience in business project management, risk management and/or risk and process consulting.

### **Additional Specifications**

- Works with internal, external auditors and regulators to facilitate controls reviews by coordinating audits with internal resources.

Tracking and facilitating documentation requests.

Reviewing and reporting on open issues both prior to and subsequent to issuance.

Establishes a positive corporative relationship with auditors and IT management.

- Prepares high-level descriptions of enterprise-level IT controls.

Assists with the preparation of relevant documents for Audit Committees regarding IT controls.

- Responsible for supporting the quarterly Management Self Assessment (MSA) and SOX certifications.

Interfaces with the SOX Internal Control Organization (ICO), Firm Operational Risk Department and Divisional Risk Oversight (DRO).

### **Skills**

- CISA and prior Big 4 experience strongly recommended. Bachelor degree in Accounting, Business, Economics, Management Information Systems or related fields.

- Thorough conceptual and practical knowledge and understanding of SOX, Cobit and COSO.

- Also required are strong analytical and problem solving skills, attention to detail, ability to work independently and as a team member.
  - Ability to multi-task to meet competing priorities and deadlines under pressure, and strong organizational, communication (written and oral) and interpersonal skills.
  - Financial services industry experience desirable.
  - Proficient in Microsoft Word, Excel, Visio and PowerPoint
- 

### **Job Description 12:**

#### **Risk Management Specialist**

Type: Full-time

Experience: Associate

Functions: General Business

Industries: Insurance

Location: NJ

Use your aptitude for analytical thinking including the ability to research and resolve problems, report finding, identify solutions and implement resolutions through interaction with company wide personnel.

Excellent opportunity to assist with the development, implementation and oversight of **Enterprise Risk Management (ERM) Programs**.

In this capacity, you will:

- **Revise & maintain ERM guidelines for identification, measurement and management of risk.**
- **Interact & partner with divisional risk coordinators to implement risk reporting and monitoring standards & processes**

- **Revise/maintain risk guidelines, measurement metrics, policies, and reporting standards**
- Create effective reports that are clear, accurate & timely for a variety of audiences including senior management, to advise of risk management issues
- Promote employee awareness of the ERM program
- Maintain databases and action plans

## **Skills**

The qualified professional is highly analytical and flexible, with the capacity to communicate a secure vision, take ownership of ERM initiatives and promote/sustain change.

Qualifications also include a relevant bachelor's degree, **familiarity with risk management standards, and strong project management skills.**

Three years' experience in a risk management, actuarial, auditing or compliance function and some healthcare experience are desired.

We offer highly competitive salaries, a dynamic work environment, and a comprehensive benefits package that includes an on-site fitness and day care center.

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## **Job Description 13:**

### **Global Markets Senior Market Risk Manager, Vice President**

Type: Full-time

Experience: Mid-Senior level

Functions: Management

Industries: Financial Services

## Job Description

The Sr. Market Risk Manager will focus on **building credit exposure models for interest rate derivatives**.

He/She will need significant work experience in this area and be a hands-on modeler.

He/She needs to have both the conceptual understanding of potential future exposure modeling and able to implement these models into tools that will need to be integrated into existing credit reporting for other products.

He/She will work closely with the Fixed Income Credit Risk Analyst.

## Skills

- Advanced quantitative or business degree and/or FRM, PRM, CFA
- Minimum of 5 years in Interest Rate Derivatives as a Trader, Front Office Quant or Risk Manager
- Well versed in risk management metrics and their implementation: credit exposure modeling, yield curve modeling, option sensitivities, **VaR, stress testing**
- Experience with a range of Front Office and Risk Management vendor systems
- Expertise in coding with C, VBA or similar; modeling tools such as Matlab a plus
- Experience working with large and complex data sets, including SQL
- Ability to deliver quality results under time pressure
- Strong written and verbal communication skills

The candidate will be an experienced professional who will be able to assume immediately the responsibilities identified in the job description.

The candidate will be expected to rely heavily on experience gained in previous positions, knowledge of the field and sound judgment to play a leading role in the modeling of credit exposures for derivative products.

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### **Job Description 14:**

#### **Risk Assessment Professional**

Type: Full-time

Experience: Mid-Senior level

#### **Job Description**

We are looking to hire a Risk Assessment Professional to be based out of our TX office. The selected individual will be responsible for completing /directing both **human health and ecological risk assessments** in CERCLA and RCRA regulatory settings.

#### **Skills**

The ideal candidate will have a minimum of 10 years experience and a demonstrated successful track record in **completing complex projects in dynamic regulatory settings**.

Radiation risk/dose assessment expertise will be highly valued. An educational background in physical/natural sciences, mathematics or toxicology is preferred. Written and oral communication skills are critical - as well as exemplary computer skills to include MS Word, Excel, and Access software.

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## **Job Description 15:**

### **Consultant - Risk Advisory Services.**

Type: Contract

Experience: Mid-Senior level

Functions: Accounting/Auditing

Industries: Government Administration

USD35.00 - USD65.00 hour

Risk Advisory Services professionals needed for an internal audit support project in CA. The professionals will be part of a project team delivering both **financial and performance audits**.

### **Qualifications:**

- \* Bachelor's degree in relevant subject area required (accounting, auditing, finance, etc.)
  - \* MBA or other relevant advanced degree a plus
  - \* **Certification (CIA, CPA/CA, CISA, CFE) required**
  - \* Minimum five (5) years applicable experience required with at least one (1) year of internal audit experience and the balance of experience in financial statement auditing/preparation/reporting, operational auditing, internal controls and/or **Sarbanes-Oxley Compliance**
  - \* Strong work paper preparation skills required
  - \* Public sector experience desired
  - \* Experience working in a professional services environment preferred
  - \* Analytic ability to identify problems and arrive at practical solutions
  - \* Willingness and ability to travel
-

## Job Description 16:

### Senior Associate, Securities Regulatory

Type: Full-time

Experience: Associate

Functions: Analyst, Consulting, Finance

## Job Description

Advisory Services Practice focuses on fundamental business issues — **managing risk, increasing revenues, controlling costs** — that organizations, across various industries, should address in order to help them flourish.

We help companies to identify and manage risks inherent in business processes and technology systems that support business objectives, and provide them with the information needed to help them meet their strategic and financial goals.

Services are specialized to help clients mitigate risks across an overall risk spectrum.

We are currently seeking an **Associate/Senior Associate, Financial Risk Management** to join us in our New York office.

**Financial Risk Management (FRM)** professionals help management and boards of directors to identify, measure, and monitor financial and business risks, the relationships between risks and returns, and the control environment over the management and reporting of these risks.

In the very complex world of financial instruments, FRM professionals have assisted in valuation approaches, stress testing, model development and risk rating, and measurement approaches to help management leverage the leading practices in risk identification and measurement.

## Responsibilities:

- Provide **regulatory compliance services** to financial institutions
- Focus on assisting broker-dealers, investment advisers, investment companies, and transfer agents in managing regulatory risks within the securities segment
- Assist our broker-dealer clients and our audit staff to understand the financial reporting regulatory risks related to the Net Capital Rule and, preferably, the Customer Reserve Formula Computation
- Develop comprehensive financial regulatory reporting policies and procedures
- Identify opportunities for enhancements to existing internal controls utilized by the client broker-dealers to manage their financial regulatory reporting risks

#### **Additional responsibilities for Senior Associate:**

- Supervise and mentor Associates and Interns on engagements
  - Serve as a liaison between clients and upper management
  - Identify and communicate technical matters to both clients and upper management Assist with project planning, development of deliverables and other technical writing exercises
-

## 2. Compliance Managers and Professionals

### Job Description 17:

#### V.P. of Compliance and Internal Audit

Type: Full-time

Experience: Director

Functions: Management

### Job Description

As the Chief Compliance Officer the Vice President of Compliance and Internal Audit (VPCA) is responsible for providing executive leadership and oversight to design, implement and operate an effective compliance program, including all operating members (EOMs) and strategic business units (SBUs).

The VPCA will establish compliance program standards and ensure that such standards are implemented within the EOMs and SBUs to reasonably prevent and detect violations of law.

He or she will facilitate an organizational culture throughout the firm which reflects a commitment to compliance with the law.

The VPCA shall report the results of compliance efforts of all entities and shall serve as the primary resource on compliance issues to the Board, the Audit Committee, the CEO and other senior leaders.

The VPCA will also serve as a resource to management-level compliance committees established by the EOMs and SBUs.

The VPCA shall also oversee the internal audit function and shall manage contracted services procured for internal audit.

### Education/Experience:

Bachelor's degree required. JD required.

Minimum of five years compliance and audit experience required, health care experience preferred.

Previous management experience required.

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## **Job Description 18:**

### **Compliance and Privacy Officer**

Type: Full-time

Experience: Director

Industries: Hospital & Health Care

Compensation: \$125,000 - \$150,000 Per Year, 15-20% bonus

### **Job Description**

A rapidly growing healthcare services and technology company seeks a **compliance and privacy officer**.

Compliance responsibilities include **ongoing development and implementation of the company's Code of Conduct and Compliance Program**, ensuring compliance with governmental healthcare requirements, ensuring program integrity, and establishing procedures to detect prevent and report waste, fraud and abuse.

**Privacy responsibilities include** overseeing the ongoing development and implementation of the company's policies and practices regarding the use of Protected Health Information under **HIPAA** and state privacy laws.

Specific responsibilities also include developing and implementing training programs for workforce members, investigating and acting on internal and external complaints, implementing corrective action plans as needed, and interacting with health plan customers' compliance departments.

### Skills Required:

- At least 8 years experience in health care compliance and/or privacy
- Self-directed individual; ability to work effectively with little supervision
- Experience dealing with senior management in fast-paced environments

### Preferred:

- Masters degree in health policy, MBA, or JD
  - Relevant industry certifications
  - Previous health plan or HIT company experience and/or previous employment with CMS or OCR
  - Experience managing audits
  - Ability to translate regulatory requirements into practical, actionable advice for business colleagues
- 

### Job Description 19:

#### Director of Security Risk and Compliance Management

Type: Full-time

Experience: Mid-Senior level

Functions: Information Technology

Industries: Hospital & Health Care

### Job Description

The Director of Security Risk and Compliance Management is primarily responsible for **developing, implementing and monitoring a sustainable security Risk and compliance management program** to sustainably meet the

compliance requirements of the Information Security Organization and improve the management of information Security Risks.

This position consistently supports compliance and the Principles of Responsibility by maintaining the privacy and confidentiality of information, protecting the assets of the organization, acting with ethics and integrity, reporting non-compliance, and adhering to the applicable federal, state and local laws and regulations, accreditation and licenser requirements (if applicable), and Kaiser Permanente's policies and procedures.

## PRINCIPAL RESPONSIBILITIES

### Security Risk Management:

- o Develop a Security Risk Management program that leverages the output from the Risk Assessment teams.
- o Provide guidance for the various teams in their assessment and scoring approach.
- o Develop and maintain a Security Risk Repository for the enterprise.
- o Implement a Risk Decisioning model and track outcomes
- o Implement a Risk reporting program in alignment with other Security Metrics initiatives

### Security Compliance Management:

- o Manage and maintain internal and external information security audits and Compliance Requirements.
- o Manage Audit and Compliance management process Service Level Agreements (SLAs) with key partners
- o Map audit findings to root causes and structure a strategic approach to address them
- o Aggregate the security compliance requirements of the organization to manage them strategically
- o Work with stakeholders to review and formulate responses to audit findings

- o Communicate emerging issues, potential risks, and audit results to key stakeholders.
- o Work with Information Security service and product managers to address Audit and Compliance requirements.
- o Appraise and communicate control strengths and weaknesses with audit, Compliance and KP Information Security Leadership in order to plan an effective and efficient integrated audit approach and remediation plan
- o Advise on the implementation of risk management and control practices within the organization
- o Review and update relevant documentation to ensure control objectives are recorded and communicated

#### **Project Lifecycle Security Engagement**

- o Define and manage the Project Lifecycle Security Engagement process to help project teams address the Information Security requirements in the early phases.
- o Partner with the Security Consulting Service Manager to expand the adoption of the engagement process.

#### **Relationship Management:**

- o Develop and manage relationship with Compliance, Audit and other strategic partners
- o Develop reports that capture the value derived from Information Security Audit Management activities

#### **Governance, Risk and Compliance (GRC) Platform Adoption:**

- o Automate the management of Security Compliance Requirements using the internal GRC platform.
- o Develop Adoption Roadmaps for the Internal GRC Platform and enhance the utilization of this solution across the enterprise.
- o Influence the product roadmap of the vendor based on the KP requirements.



- o Provide subject matter expertise on the features and capabilities of the platform and explore creative ways to address new needs.

## REQUIREMENTS

We seek a seasoned leader with strong analytical skills who can demonstrate excellent program management and relationship management capabilities, inspire teamwork and responsibility with engagement team members, and use current technology and tools to enhance the effectiveness of deliverables and services.

Demonstrated experience in successfully influencing complex organizational initiatives involving multiple functions.

To qualify, candidates must have:

- o a bachelor's or master's degree in business, accounting, finance, computer science, information systems, engineering, or a related discipline

- o 10+ years of growing responsibility working as a senior IT Risk or Governance professional for a financial services organization or public accounting firm or professional services firm

- o **SOX Experience Required**

- o **CISA, CISSP or CISM Certification required**

- o Deep understanding of the healthcare industry at the end-to-end process level, including connection points between processes and functions across the enterprise

- o Proven track record **assessing and managing risk at an enterprise-wide level and analyzing root causes behind multiple audit findings.**

- o Demonstrated experience resolving problems with the highest levels of management, including C-suite partners, Board members and regulators

- o Experience working closely with IT partners on major technology initiatives to ensure that controls are integrated into the system development lifecycle

- o Exceptional skills influencing, negotiating and building relationships at all levels of management
  - o Significant experience with CobiT, ISO27002, ITIL, FFIEC, GLBA, HIPPA, etc.
  - o Significant experience with GRC methodologies, tools and enablers in the financial services or healthcare sector (i.e. Agilance, Archer, B Wise, BPS, Chase Cooper, Paisley, etc.)
  - o Strong thought leadership in IT Governance Management and Business Relationship Management
  - o Excellent follow through skills with a focus on solid and predictable execution.
  - o Demonstrated integrity within a professional environment
- 

## Job Description 20:

### Compliance Manager

Type: Full-time

Experience: Mid-Senior level

### Job Description

As Compliance Manager you will be responsible for providing regulatory compliance services to our banking clients.

Our services include: administering client compliance programs, assessing compliance risk, performing compliance monitoring and testing, providing compliance training, drafting policies and procedures, interpreting compliance laws and regulations for our clients, providing guidance for efficient implementation of law and regulation changes to bank business processes, and performing compliance audits.

### **Specific duties and responsibilities include:**

- Directing the compliance function for our firm's banking and credit union clients;
- Performing analysis of compliance programs to evaluate the effectiveness of targeted consumer compliance reviews, website reviews, fair lending analysis, CRA evaluations, and BSA / AML testing;
- Evaluate Compliance Risk Assessment methodology;
- Review of process flows, compliance monitoring programs and documentation standards;
- Interfacing with all levels of client management as well as regulatory bodies;
- Production of clear and concise management reports to include program enhancements and recommendations;
- Participate in audit committee/client meetings and make presentations to Senior Management and;
- Develop and deliver regulatory compliance training.

### **Skills**

- Minimum of ten years of professional compliance experience in the banking industry;
  - Ability to **interpret and disseminate the impact and requirements of new laws and regulations;**
  - Bachelor's degree in Business Administration or related field or equivalent education or experience;
  - Strong verbal, written, interpersonal, and public speaking skills and;
  - Strong working knowledge of Microsoft PC software and applications.
-

## **Job Description 21:**

### **Data Compliance Officer**

Location: West Midlands

Job type: Permanent

We ensure that our customers get the people and expertise they need by finding them the nation's best talent.

Our Utilities client is looking to recruit a **Data Compliance Officer within their Risk, Financial Controls and Compliance team** and is to provide support for a number of areas including, Quality (ISO9001:2008), Information Assurance, Business Continuity and Internal Audit.

#### **Duties:**

To maintain, update and ensure compliance as appropriate with:

- \*The Company's Information Assurance Policies.

- \*The Company's Business Continuity Arrangements.

- \*The Company's Quality Manual and quality processes, to manage the Company's internal quality audit programme, and to ensure the Company's ongoing certification to Quality Standard ISO9001:2008.

- \***The financial internal audit plan, delivering assurances to the Executive Committee and the Audit Committee / Board.**

To enhance understanding and compliance by providing guidance and education to all employees in relation to required standards for quality management, information assurance and business continuity, through the provision of guidance via a comprehensive set of topical intranet pages and/or delivery of presentations/ workshops when required.

To influence the Company's Management Team to ensure due account is taken in respect of all business decisions of any compliance standards required legally, contractually or due to the Company's policies.

To lead the Company's compliance activities and to provide guidance and direction to virtual teams of internal representatives, auditors and stewards concerned with business continuity, quality and information assurance.

To design and run a programme of tests to ensure that business continuity arrangements and security safeguards are effective.

To undertake financial and quality based internal audits; providing assurance and reporting on controls in place / identifying areas for improvement.

The following skills are required for the Data Compliance Officer position:

Background of providing internal training and ensuring a commitment from staff and managers on compliance matters.

Exposure of managing staff and virtual teams.

Knowledge of the **ISO 9001:2008 Quality Standard and its application.**

Experience of or ability / potential to undertake Internal Audits.

Ability to assimilate and objectively review large quantities of information.

**Knowledge of information assurance management and in particular the principles of ISO 17799.**

Experience and knowledge of the Data Protection Act and its practical application

Excellent Communicator both written and verbal who can assist in achieving practical solutions that benefit the organisation and who can express complex ideas in simple language.

Knowledge of business continuity arrangements.

Understanding of business risks and controls.

Diverse Knowledge of key business areas.

### **Job Description 22:**

#### **New Business Sales Manager (Governance, Regulatory, Compliance)**

Location: UK

Salary: £35000 - £50000 per annum + Bonus, Car Allowance

Job type: Permanent

With a background selling within the GRC (Governance, Regulatory, Compliance) space into board level decision makers in blue chip organisations, you will have an excellent opportunity to be recognised and well rewarded for your new business sales and account management achievements within this expanding applied information services company.

As a well connected sales professional based from home, you will be responsible for the whole sales cycle from generating prospects of board level decision makers in large blue chip companies to closing the sale and account management by selling the company's GRC solutions.

It is essential that you are a well connected sales professional with a proven new business sales development background with board level decision makers in blue chip organisations within the **Governance, Regulatory and Compliance sector**.

A demonstrable record of consistent and proven over-achievement of sales targets with excellent new business prospecting skills and ethic is essential for this role. A full driving license is required.

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### **Job Description 23:**

#### **Regulatory Reporting Manager - London - £50k + Package**

Location: London

Salary: £50000 per annum + Car and benefits

Job type: Permanent

This role offers the chance to join an integral team within this bank and offers an exceptional opportunity to work at the heart of regulatory reporting.

They are seeking a highly capable and motivated risk professional to manage a team who will ensure that regulatory and economic capital is managed effectively within the Retail bank.

You will ensure that capital is allocated effectively, capital requirements are understood and that regulatory and legal obligations for external reporting and explanation of credit risk information are met.

The successful applicant will be able to demonstrate an excellent knowledge of the key regulatory and legal requirements that impact on retail banking operations.

You will then be able to interpret them and present them to a variety of audiences.

You will also need to have experience within the following areas: Degree in a numerate discipline or similar Experience within retail banking and knowledge of the Basel Accord Ability to interpret Basel requirements and present implications to stakeholders Knowledge of retail credit or credit systems.

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### Job Description 24:

## **CORPORATE COMPLIANCE AND ETHICS SENIOR LEADERSHIP ROLE**

Type: Full-time

Experience: Executive

Functions: Legal

Industries: Hospital & Health Care, Mental Health Care

## Job Description

If you are a senior leader of Corporate Compliance and Ethics in your organization, or even Chief or VP, and currently considering your career options and feeling like you are ready for your next big challenge in the coming New Year - have we got a great opportunity for you!

The Human Services industry is like no other, especially when you consider the type of wonderful and rewarding work our Company does everyday supporting approximately 23,000 consumers across 35 states.

We are looking for a strong and forward thinking compliance and ethics program leader still at point your career where you are charged and excited to build and grow the function.

We have a solid foundation in place but we recognize there's a great deal of opportunity for a skilled, broad-thinking leader and communicator to take our compliance programs to the next level.

We in fact would love to be considered a world-class model in our field for best practice and best of breed compliance and related operations.

## POSITION OVERVIEW

This is a very visible role based in Boston, MA reporting to our SVP and General Counsel and representing us across all 35 states in the US in which we operate.

Our needs are centered on advancing strategies and solutions across the three key areas of compliance; Training, Investigations and Auditing.

We're frankly looking for the right expertise to take us to "Compliance 2.0" and we need somebody motivated and excited by that charge.

## MORE ON THE ROLE

This position ensures that the Company,, management and employees are [in compliance with laws, and the rules and regulations of regulatory agencies and](#)



that company policies, standards and procedures and being followed and that behavior in the organization meets the company's Code of Conduct.

Some Responsibilities Include (but not limited to):

- Directs and oversees corporate governance, compliance with laws, regulations and company policies for the organization.
- Promotes ethical business behavior
- Consults on an ongoing basis on compliance related issues with executives and operation managers.
- Directs the continuing development, implementation and monitoring of a company-wide comprehensive compliance program and plan.
- Develops, coordinates and participates in a multifaceted educational and training program and seeks to ensure that all appropriate employees and management are knowledgeable of, and comply with, applicable federal, state and Company standards.
- Manages the periodic review of the compliance program related to new or shifting compliance risks.
- Oversees the development and delivery of services to evaluate corporate governance, board and compliance and audit committee practices as they relate to the compliance program.
- Chairs the Company's Management Compliance Committee and serves as an advisor to the Company's Policy Steering Committee.
- Reports directly to the Board's Compliance Committee along with the SVP and General Counsel.
- Develops and delivers services to evaluate and support corporate social responsibility.

**CRITICAL SUCCESS FACTORS INCLUDE**

- Solidify the current compliance agenda yet advance the function to ensure we are well positioned to keep future potential incidents and compliance matters in check.

Essentially reduce our risk.

- Take us to the next phase in compliance ensuring we have a more robust and functional structure.

Establish strategic plans aligned around our critical areas of Investigations, Training, Auditing.

- Relationship building and effective communication at all levels is another critical key to success.

- Take us to a more proactive compliance approach where we can identify incidents and issues before they escalate into larger issues.

This is especially important as it relates to front line care, and can create value for the organization by mitigating and reducing risk.

- Build a platform for effective coordination of compliance agendas across various functional areas throughout the organization.

- The successful candidate will have established a compliance organization that is viewed as a consultative advisor and educational business partner and not the “compliance police”.

## Skills

## QUALIFICATIONS:

- You are currently in the senior compliance leadership role in your organization OR we would be open to an individual that is in the #2 compliance leadership position of a very large company and you are ready to step up to the lead position.

- You must be extremely well versed in the 3 key functions of compliance; Training, Auditing and Investigations and have built best-in-class strategies and successful programs around them.

- Visibility is a key to success and we are looking for somebody who can show past successes and a reputation for being a strong leader who's known to be out and about in the field.

We need someone recognized as a good public speaker, trainer and advocate for the corporate compliance function.

- Travel could be significant, possibly up to 40% at times, especially early on in the role.

You will of course have autonomy and control over your schedule but will be expected to travel sometimes on short notice for significant investigations.

- Preference for Medicaid experience and the knowledge of the regulatory side of Health and Human Services.

- We recognize great corporate compliance could be transferable across many industries and we are more interested in your experience serving a large dispersed workforce across many locations and states.

Experience in the Human Services field would certainly be a big plus but we will consider other industries, particularly healthcare related, as long as you've implemented compliance programs in a significant size organization.

- A Bachelors degree is required and J.D. from an accredited law school would be preferred but is not a requirement. A Masters degree in another field preferable if no law degree.

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## **Job Description 25:**

### **Head of Compliance**

Type: Full-time

Experience: Mid-Senior level

Functions: Accounting/Auditing, Legal

Industries: Gambling & Casinos, Internet, Legal Services, Online Media

### **Job Description**

As Head of Compliance your main responsibilities will involve:

- Responsible for the day to day execution of the firm's responsible gaming, product fairness, compliance strategy
- Regular reporting on the firm's compliance to the General Counsel, Non-Executive Ethics Committee and Executive Group Risk Committees
- Being the primary interface with the group's regulators internationally
- Providing compliance leadership as we seek to enter new regulated markets, and influencing the development of regulation in nascent regimes
- Creation and management of the Compliance monitoring programme and Compliance action tracker roadmap to ensure that a compliance culture is embedded within all aspects of the business
- Providing strategic direction (ie helping to set policy) on the application of both existing and new gaming regulation – outlining potential business impact and, as appropriate, producing plans to ensure business practices are compliant with the firm's responsible gaming, compliance & best practice requirements
- Developing and devising leading CSR policies and supporting the Company's lobbying strategy by campaigning for responsible & ethical practices in the online gambling industry

- Representing Party at industry forums and the online gaming industry at the European Parliament and European Commission in matters relating to corporate responsibility and compliance, security
- Devising and setting international, European and national standards on Anti-Money Laundering, Age Verification, Product fairness and Player Protection for online gaming
- Creating and implementing **Compliance training across the group**
- Experience of managing regulatory relationships

## **Skills**

As Head of Compliance your skills and qualifications will ideally include:

- Experience of managing regulatory relationships
  - A Compliance, Legal or Audit background is essential, although related experience in the gaming sector will be considered
  - Strong interpersonal and communication skill
  - Maturity and gravitas to influence the business to take on the importance of compliance in a strongly commercial sector
- 

## **Job Description 26:**

### **Senior Director, Corporate Compliance & Ethics at McKesson**

Type: Full-time

Experience: Director

## **Job Description**

Being big doesn't mean you shouldn't think small.

As a Fortune 18 leader, our scope of products and services makes us the largest healthcare services company in the world.

But that hasn't obstructed our view of what matters - creating solutions that empower healthcare professionals to focus on their patients.

That's the power of every employee - to make a big difference in the small picture. That's the power to build your future.

### Current Need:

This position is accountable to assure an effective global corporate-wide compliance and ethics program.

As such, the person in this role is responsible for planning, building and managing tools and processes for the business to manage and **mitigate legal and regulatory risk throughout the enterprise.**

To succeed, this person will need to build, maintain and strategically influence relationships across the enterprise, particularly with the following stakeholders: the BU Compliance officers, the Law Department, HR, corporate security and Information security.

### Among the tools and processes that this person will be responsible for are:

- 1) the planning, building, implementing and managing a sustainable enterprise legal and regulatory compliance risk assessment program,
- 2) the creation of relevant compliance metrics and reporting protocols to demonstrate to senior management the effectiveness and implementation of the compliance program as well as issues, gaps and holes in the program and strategic areas for focus,
- 3) the maintenance of the ethics and compliance hotline program, the implementation and management of investigation protocols and the building, implementation and maintenance of a cross functional case management system,
- 4) the maintenance of an integrity diagnostic survey process,

- 5) the implementation and maintenance of a FCPA compliance program,
- 6) the implementation and maintenance of a compliance e-training program,
- 7) the implementation and maintenance of a conflicts of interest questionnaire process,
- 8) the maintenance of enterprise policies such as the Code of Conduct.

In this effort, **the Director will be supported by two managers of compliance and ethics.**

The Director will plan and direct schedules as well as project budgets, monitor the program/projects from initiation through delivery, interfacing with all applicable stakeholders on all matters, with sensitivity to the often confidential nature of the work.

The Director will develop detailed work plans, schedules, project estimates, resource plans, budgets, and status reports, conduct project meetings and will be responsible for project deliverables.

In addition, the Director will manage the integration of vendor tasks, and will track and review vendor deliverables.

It is essential that this person be of **unquestionable integrity**, sensitive to the confidential nature of the work, a great communicator and people person who will set the tone for the Compliance and Ethics Department.

This person will interact with all levels within the organization including the senior most management.

This person must be able to effectively prioritize and multi-task. Expertise in enterprise risk assessment and management of internal investigations is a must.

Past managerial experience is a plus.

**Additional Knowledge & Skills:**

- Proven track record of cross-functional leadership
  - Cross-functional coordination; Business unit and corporate function partnership and collaboration skills
  - Excellent interpersonal and people skills with ability to deal effectively with individuals at all levels
  - Meticulous attention to detail, well-organized, ability to meet deadlines and to prioritize
  - Well-Organized, ability to manage time well, meet deadlines and to prioritize
  - Excellent verbal and written communication skills
  - Ability to respond to employee questions and concerns regarding the Code of Business Conduct and Ethics and the compliance program
  - Strong analytical and conceptual thinking skills
- 

### **Job Description 27:**

#### **Head of Compliance**

Type: Full-time

Experience: Mid-Senior level

#### **Job Description**

As **Head of Compliance** your main responsibilities will involve:

- Responsible for the day to day execution of the firm's responsible gaming, product fairness, compliance strategy
- Regular reporting on the firm's compliance to the General Counsel, Non-Executive Ethics Committee and Executive Group Risk Committees



- Being the primary interface with the group's regulators internationally
- Providing **compliance leadership** as we seek to enter new regulated markets, and influencing the development of regulation in nascent regimes
- **Creation and management of the Compliance monitoring programme and Compliance action tracker roadmap to ensure that a compliance culture is embedded within all aspects of the business**
- **Providing strategic direction (ie helping to set policy) on the application of both existing and new gaming regulation – outlining potential business impact and, as appropriate, producing plans to ensure business practices are compliant with the firm's responsible gaming, compliance & best practice requirements**
- Developing and devising leading CSR policies and supporting the Company's lobbying strategy by campaigning for responsible & ethical practices in the online gambling industry
- Representing Party at industry forums and the online gaming industry at the European Parliament and European Commission in matters relating to corporate responsibility and compliance, security
- Devising and setting international, European and national standards on Anti-Money Laundering, Age Verification, Product fairness and Player Protection for online gaming
- Creating and implementing Compliance training across the group
- Experience of managing regulatory relationships

## **Skills**

As Head of Compliance your skills and qualifications will ideally include:

- Experience of managing regulatory relationships
- A Compliance, Legal or Audit background is essential, although related experience in the gaming sector will be considered
- Strong interpersonal and communication skill

- Maturity and gravitas to influence the business to take on the importance of compliance in a strongly commercial sector
- 

## **Job Description 28:**

### **Senior Compliance Officer**

Type: Full-time

Experience: Mid-Senior level

Industries: Insurance

Compensation: \$92,000 - \$132,000 Per Year

### **Job Description**

**The Senior Compliance Officer will lead the International Compliance Team (within Compliance & Regulatory Affairs) and manage all aspects of compliance related to Aetna's international operations.**

Specific job responsibilities include:

- **Create and implement a compliance plan to support international operations and manage resources on the International Compliance Team in support of the plan.**
- **Organize and coordinate the implementation of laws and regulations applicable to the regions in which the firm operates.**
- **Serve as a contact with local governmental agencies and maintain positive working relationships with them.**
- **Work with multiple business areas to assist in the development and implementation of compliance controls.**
- **Build effective relationships with business partners and work closely with management to set compliance direction.**

- Monitor and report on adherence to compliance controls.
- Ensure that compliance issues are addressed and corrective actions are taken as appropriate.
- Promote compliance awareness and facilitate necessary training.
- Assure compliance direction is aligned with business strategies.
- Identify and analyze significant legislative initiatives and their impact on business operations.
- Foster compliance as a core competency across the business areas that support international operations and in connection with interactions with employees across the enterprise.

## Skills

### Skill or Experience Requirements:

The successful candidate must have experience with international business operations and related regulatory requirements, especially in the foreign markets where Aetna operates (e.g., Europe, Middle East, Asia).

A strong understanding of the healthcare industry is preferred.

The ability to build effective relationships with internal and external constituents and excellent written and verbal communications skills, including the ability to interact effectively with different audiences, are required.

The candidate must have strong project management skills, possess the ability to manage multiple priorities simultaneously, and have the proven ability to manage a team.

## EDUCATION

The highest level of education desired for candidates in this position is a Bachelor's degree or equivalent experience.

## **Job Description 29:**

### **Corporate Counsel – Primary Care Compliance Programs Counsel**

Type: Full-time

Experience: Mid-Senior level

Industries: Biotechnology, Pharmaceuticals

## **Job Description**

Primary Care Compliance Programs Counsel

Location: New York, NY

## **Overview:**

- Direct and manage **Global Primary Care Business Unit (PCBU) compliance programs, policies and procedures, in coordination with Lead Primary Care Compliance Counsel**
- Inform other PCBU Legal colleagues and advise PCBU management regarding implementation of processes and procedures required by Corporate Integrity Agreement and internal policies

This position reports to the Lead Compliance Counsel for the Primary Care Business Unit.

## **Roles and Responsibilities:**

- Provide oversight for PCBU compliance programs, which includes
  - (1) **risk identification, assessment and mitigation;**
  - (2) **development of training curriculum and program in key areas;**
  - (3) **updating of policies and procedures.**
- Direct, manage and document compliance of PCBU Legal and business colleagues with requirements of Corporate Integrity Agreement and internal policies.

- Facilitate and inform reviews for quarterly certifications by management under the Corporate Integrity Agreement.
- Coordinate communications, including updating BU leadership on on-going environment and government investigations and informing Corporate Compliance of PCBU compliance programs.
- Manage and understand PCBU docket of compliance investigations in the Corporate Compliance Group, assist with remediation and corrective actions in PCBU.
- [Set agenda for quarterly Compliance Committee meetings](#), in coordination with Lead Compliance Counsel, and ensure execution of action items.
- Work closely with other BU compliance leads and their reports to ensure consistency and leverage best practices.

## [Skills](#)

- ☐ Excellent academic qualifications
  - ☐ Admission to practice law in the US, EU or other major market
  - ☐ Proven capabilities including 5+ years of experience in some or all of the following areas: [healthcare law and policy](#), [regulatory law](#), [healthcare compliance](#), [managed markets](#), [antitrust](#), [litigation](#) or other commercial legal or transactions practice, and intellectual property
  - ☐ Detail-oriented and strong organizational skills
  - ☐ Strong business sense and understanding of the evolving business model
  - ☐ Demonstrated strength in leadership, judgment and initiative
  - ☐ Proven capabilities to set priorities, drive results, and act efficiently and effectively within a complex business and organizational environment
  - ☐ Negotiating skills and transaction experience
  - ☐ Analytical and creative thinking ability
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## **Job Description 30:**

### **Compliance Manager**

Type: Full-time

Location: New York

Experience: Mid-Senior level

Industries: Banking, Financial Services, Investment Banking

### **Job Description**

Our bank is a leader in asset management, investment banking, private banking, treasury and securities services, and commercial banking.

Today, the firm serves one of the largest client franchises in the world, including corporations, institutional investors, hedge funds, governments and affluent individuals in more than 100 countries.

Our investment professionals are located around the world providing strategies that span the full spectrum of asset classes including equity, fixed income, cash liquidity, currency, real estate, infrastructure, hedge funds and private equity.

Investment Management seeks a senior compliance professional in its New York, NY location.

This compliance professional should have at least 7 years investment management legal/compliance experience at a registered investment adviser, federal securities regulatory agency or other relevant organization.

The individual must have expert knowledge regarding the Investment Company Act of 1940, the Investment Advisers Act of 1940, the Securities Act of 1933, and the Securities Exchange Act of 1934.

Strong knowledge of derivatives and trading practices required.

Hedge Fund experience is a plus.

The candidate will assist in all aspects of compliance with applicable regulations for all types of accounts managed by the Asset Management division of the firm.

### **Responsibilities include:**

- Coordinate with the CCO the implementation of the compliance program across various legal entities, lines of business, and geographies.
- Partner with other teams within Asset Management Compliance to ensure proper reporting (fund boards, risk committees, senior management) and metrics regarding compliance programs.
- Represent compliance at various meetings, including new product committees, client due diligence meetings, regulatory interface, and meetings with senior management for the IA Compliance team.
- Oversee and implement compliance policies and procedures as appropriate across all lines of business.
- Coordinate with teams within Asset Management Compliance and the relevant lines of business the appropriate response to legal, regulatory, and industry developments.
- Interface with the IA Compliance teams and the CCO on strategic initiatives for the department.
- Manage and lead staff as appropriate.

### **Skills**

- Strong knowledge of investment management **compliance and regulations**
  - **Regulatory experience/interface** (including SEC and OCC/FRBNY) a plus
  - Knowledge of trading practices and derivatives
  - JD/MBA education or relevant experience desired
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### **Job Description 31:**

#### **Manager, AML Compliance Review and Training**

Type: Full-time

Experience: Mid-Senior level

Industries: Financial Services

#### **Job Description**

The bilingual Manager, AML Compliance Review and Training is responsible for the **management of the AML Compliance Field Review and Training department for the Canadian and Latin American regions.**

This manager will help to develop, deliver and manage a comprehensive anti-money laundering compliance review and training program **based on law(s) applicable across the designated regions.**

This includes effective management of the staff, performance appraisals, team meetings, training, guidance and metrics reporting.

The field-based AML Compliance Reviewers perform AML review/training to ensure the agent's knowledge of and conformance with anti-money laundering laws and other related MGI policy requirements.

The reviewers are responsible for **addressing any deficiencies** with the agents program, following up with agent when necessary and communicating to key partners and leadership teams when the agent does not meet MGI compliance requirements.

As a subject matter expert, the manager will provide daily direction, clarity and guidance to staff regarding AML compliance activities, issues, laws and regulations.

It is the responsibility of this leader to ensure the staff is well trained and knowledgeable on AML compliance, international standards as well as a familiarity with US AML and OFAC requirements.



In addition, the manager will have continuous communications with senior compliance and sales management on issues of agent risk, advising on risk mitigation, agent terminations and restrictions.

**Specific responsibilities include:**

Hire, train, lead and provide direction to multiple **AML Compliance Field Reviews to meet team goals.**

Provide feedback and coaching on job performance and complex issues.

Coordinate department workflow to ensure efficient and effective distribution of resources. Monitor database for information integrity and consistency.

Develop, enhance and implement anti-money laundering review and training programs for Canadian and Latin American-based agents.

**Responsible for incorporating and implementing updated compliance procedures (within policy) as needed to address regulatory or business changes within global parameters.**

**Maintain first class knowledge** of relevant anti-money laundering laws, regulations, methods and crimes within designated geographical areas.

Keep abreast of AML trends and interpret the relevance and impact to the business. Provide staff clarification, guidance and necessary training related to AML compliance regulations.

Conduct trainings with/for agents and their employees to correct non-compliance with anti-money laundering laws and related MGI policy requests via different medias.

Drive the development of anti-money laundering training material, as well as miscellaneous reference and communication materials within global parameters.

**Develop robust metrics** to be used to assist in managing resources/results.

Analyze completed reviews to identify trends, patterns and incidents for reporting to management. Use feedback and trending to develop or enhance existing programs.

Communicate results of reviews to compliance management and sales staff.

Handle or oversee complicated special projects that arise from escalated issues involving agents.

Provide monthly metrics and results to compliance leadership.

Consult internally and with agents to resolve agent compliance issues and use problem solving skills to overcome barriers.

Continuously communicate with senior compliance and sales management on issues of agent risk, advising on risk mitigation, agent terminations and restrictions.

## **Skills**

All positions require the ability to model the Corporate Values of Respect, Courage, Passion, Teamwork and Integrity.

Demonstrates the 5 core competencies of International: Innovative Outlook, Power of Analysis, Ability to Communicate, Leadership Capability, Ability to Drive Change (Required).

## **Education:**

Bachelor of Arts in criminal justice or business, or equivalent combination of educational and work experience (Required).

## **Experience:**

Minimum of five years work experience in **fraud, compliance, credit or a related risk area in a banking or financial services** environment (Required).

Minimum of five years of supervisory experience including effective interviewing, performance management, clarifying roles and responsibilities, fostering teamwork, facilitating/resolving team or individual conflicts, providing mentoring and coaching employee (Required).

Preference given to candidates with remote management experience with diverse geographies.

**Money laundering or related risk experience (Required).**

Knowledge of money laundering compliance requirements for money services businesses (Preferred).

**Experience implementing compliance programs, systems and procedures (Preferred).**

Excellent relationship building skills with the ability to interact with multiple levels within the organization. Must focus on building relationships to understand others' needs and strive to deliver excellent customer service in everything you do (Required).

Experience determining appropriate course of action required for complex problems. Individual must be able to gather and analyze data to develop rationale for resolution and ensure that appropriate subordinates and others are involved in decisions (Required).

Demonstrated analytical skills – ability to find and evaluate information from internal and external sources, along with what is provided by agents, and make sound decisions about compliance (Required).

Demonstrated ability to make quick, yet sound decisions, and communicate negative and adverse messages professionally, under difficult circumstances (Required).

**Demonstrated professional communication skills with internal and external customers, at varying levels in the organization (Required).**

Excellent demonstrated organizational skills, including time management, record keeping, self-scheduling, and follow-up (Required).

Proven ability to communicate effectively with a culturally diverse customer base (Required).

Proven ability to professionally negotiate and work through difficult situations with customers (Required).

Demonstrated ability to handle multiple priorities in a dynamic environment (Required).

Must be able to work independently within guidelines, with minimal supervision (Required).

Demonstrated ability to appropriately work with confidential information (Required).

Proficient with MS Excel, Word and ability to learn database applications (Required).

In-depth knowledge of mandates, operations, and policies of law enforcement organizations. This position also requires a broad base of knowledge of money laundering schemes and trends and a considerable knowledge of business practices across the country (Preferred).

Ability to be independently mobile and travel internationally approximately 50% (Required).

Fluent English and Spanish bilingual skills (Required).

Additional language skills – French/Chinese/Korean/Arabic/Hindi (Preferred).

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### **Job Description 32:**

#### **Assistant Corporate Compliance Officer**

Type: Full-time

Experience: Mid-Senior level

Functions: Legal

Industries: Insurance

### **Job Description**

A diversified **insurance and financial products and services company** headquartered in Washington, DC, is actively recruiting a **Compliance**

**Professional to report to the Corporate Compliance Officer** in the company's law department.

The **Assistant Corporate Compliance Officer** will assist in the **design, implementation and management of all compliance programs**, both at the corporate and business unit level and will interact with the company's various compliance officers.

## **Skills**

The successful candidate must have a BS/BA degree in Business or related field and at least 5-7 years of insurance industry experience with a strong regulatory compliance background.

Extensive knowledge in both life and health insurance and property and casualty insurance compliance is preferred.

**Former interaction with state insurance departments, the Securities and Exchange Commission, and the Financial Industry Regulatory Authority is highly desired.**

**Experience in designing and implementing compliance programs is a plus.**

Strong project management experience and excellent communication skills are essential.

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## **Job Description 33:**

### **Compliance Officer**

Type: Full-time

Experience: Mid-Senior level

## **Job Description**

Perform Controlled Functions in accordance with **FSA regulations**.

Provide regulatory advice to the business units and the Management of the Company.

Conduct compliance-related monitoring and draft applicable policies and manuals.

Review new and proposed regulations and summarize them for the Management of the Company.

Review content of business communications to ensure compliance with FSA requirements and suggest changes to policies and procedures to improve compliance.

Provide regulatory training for personnel.

Handle internal compliance investigations.

Prepare and submit requested reports to FSA and other relevant regulatory authorities.

## Skills

- AML, Know Your Customer, Financial Requirements experience is required.
  - 5+ years of experience in FSA Controlled Functions (either on the FSA side or on the business side, including extensive communications with regulators).
  - Law or Finance degree preferred.
  - Experience with futures, commodities and foreign exchange strongly preferred.
  - ICAAP and financial reporting experience.
  - Effective oral and written communications skills.
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## **Job Description 34:**

### **Compliance Specialist**

**Type:** Full-time

**Experience:** Mid-Senior level

**Industries:** Financial Services

### **Job Description**

Our firm has an immediate opening for a Compliance Specialist with a Bachelor's degree and extensive experience with Charles River Compliance System (CRD).

The Compliance Specialist will review and analyze restrictions found in contracts, guidelines and amendments, code client guidelines into CRD and test restrictions as they are put in CRD.

Will also work closely with the global fixed income investment team to code complex securities and derivatives restrictions.

Work with portfolio managers and specialists to resolve guideline issues. Extensive project work, both individual and team projects.

Collaborative, team oriented environment.

### **Skills**

Candidates must have a Bachelor's degree in Business, Finance or Accounting as well as 5 years of experience in investment compliance.

Experience with CRD is a MUST. Exposure to fixed income securities is required. Knowledge of foreign exchange contracts is strongly desired. Will be detail oriented with excellent communication and interpersonal skills.

## Job Description 35:

### Senior Compliance Associate

Type: Full-time

Experience: Associate

Industries: Financial Services

### Job Description

This is a fast growing, independent, global, institutional brokerage and investment-banking firm. The successful candidate for this position will **play an active role in the surveillance and regulatory compliance efforts** for the firm.

Work with team of six, in meeting **broker/dealer regulatory responsibilities for the business units.**

Looking for a person with a strong work ethic and positive attitude with generalist experience.

Learn, provide assistance and ultimately assume responsibility for components of:

- Anti Money Laundering
- Trade Support
- **Regulatory Record Keeping**
- Marketing and Advertising Review
- **Employee Trading**
- **Miscellaneous projects (regulatory exams, inquiries or initiatives, subpoena for documents, etc.)**
- Telephone coverage as needed



## Skills

BA or BS degree required

Good communication skills – Ability to effectively and proactively communicate with persons of any professional level

Ability to understand, synthesize and communicate urgent information

Ability to multi-task

Good technical knowledge and ability to learn and understand trading systems and outside vendor platforms

Demonstrates a strong work ethic and commitment to Team and Department

Three years compliance experience

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## Job Description 36:

### Compliance Officer at Professional Recovery Consultants

Type: Full-time

Experience: Entry level

Functions: Administrative

Industries: Financial Services

## Job Description

Compliance Officer will be responsible for maintaining all state collection licensing for Agency.

Additionally, will head the PPMS team (Professional Practices Management System).

PPMS is our collection agency quality control and compliance certification obtained through the ACA (American Collectors Association).

General compliance training and continuing education for our staff.

## Skills

Only above average candidates need apply.

This means exceptional analytical skills and attention to detail.

College education is preferred.

If paperwork, organization and accountability are difficult for you, no need to apply.

Must be very literate in computer skills including general navigation, database management.

Must have good communication skills to work with the various departments

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## Job Description 37:

### Manager of IT Operations and Compliance

Type: Full-time

Experience: Mid-Senior level

Functions: Information Technology

## Job Description

Our firm is searching for a **Manager of IT Operations and Compliance**.

In this role, you will support our corporate information technology organization by providing leadership and oversight in the areas of IT planning

and analysis, audit, compliance, budget/forecasting and provide strategic reporting.

You will work across IT and other business areas and own the business case development process for all major company IT initiatives.

You will spend your time across the following functions:

- Leading IT best practices and sets standards across IT and owning SOX compliance and execution (30%)
- Owning and managing the budget process, financial planning and analysis and business case development process (30%)
- Developing and preparing all Executive and Board of Director reporting and materials and Executive Steering Committee meetings. (25%)
- Owning IT Dept and Manager Forums including preparing content and setting agendas (15%)

## Skills

To be successful in this role, you should possess the following education, experiences, skills and qualifications:

- Bachelor's degree in business, finance, computer science, engineering or related discipline
- 5+ years in an IT Manager level role demonstrating the following required key experiences:
  - Negotiation of third party vendor contracts
  - IT Strategy and business case development
  - Strong IT process engineering skills, SOX experience preferred
  - Excellent communication and relationship skills at all levels of an organization
  - Solid presentation skills with strength in producing executive-level materials

### Additional experience desired includes:

- Demonstrated experience and deep understanding of the **IT solutions life cycle delivery and project management disciplines**
  - **ITIL, Lean Six Sigma or other IT best practice methodologies**
  - Experience in IT process re-engineering or process improvement, utilizing tools and techniques to effect continuous improvement and reduced risk of system outages or failures
- 

### Job Description 38:

#### **Compliance Analyst**

Type: Full-time

Experience: Associate

#### **Job Description**

**Initial review and analysis of regulatory Work Requests.**

Responsible for providing support, guidance, and consensus building for the **Regulatory Committee**

**Review Approaches and Functional Specifications for Regulatory Unit**

Assists clients with internal audits, rule analysis and interpretation, system research, and internal regulatory processing.

Assigned to work on Work Request directly related to regulatory needs.

Responsible for coordinating activities related to **regulatory modifications for assigned projects.**

Responsible for individual task reporting for Project Plans for assigned projects.

Responsible for working with the client to validate and clarify user requirements for assigned projects.

Responsible for helping with creating Approaches, Functional Specs, Testing Plans, Test Scripts, and Testing for assigned projects.

Working with Development resources to ensure clear understanding of definition and potential impacts when assigned to the project.

Working with the Development Manager and Team Lead to overcome development obstacles

Support Clients through user acceptance testing when assigned as primary BA resource.

## **Skills**

### **Required Skills**

Three to five years of broker/dealer experience with at least one year in the compliance department preferred

### **Knowledge of regulatory rules, regulations and laws**

Good understanding of broker/dealer activities

### **Experience using compliance surveillance or supervisory reports/tools preferred**

Ability to effectively communicate with programmers rule requirements and impact to systems

Technical writing skills desired.

### **Job Description 39:**

#### **Compliance Consulting Manager at Potomac River Partners**

Type: Full-time

Experience: Mid-Senior level

Functions: Consulting

Industries: Pharmaceuticals

### **Job Description**

We are seeking an experienced Manager to lead client engagements and help grow the business.

The candidate will also work closely with the firm's founder to **help shape and implement the strategic direction of the company as it continues to grow.**

This is an exciting opportunity for a motivated individual who thrives in an entrepreneurial environment with limited guidance or direction.

Qualified candidates will have consulting experience, background in the pharmaceutical or life sciences sectors and strong project management skills, in addition to sharp problem solving ability and a willingness to articulate and defend opinions.

### **Responsibilities include:**

- Independently lead multiple client engagements
- Create and manage client deliverables
- Lead client meetings
- Develop recommendations on business process enhancements
- Manage and track budgets
- Motivate, empower and lead team members, including performance review process

- Help develop and implement business development strategy
- Assist with sales process, including proposal writing
- Identify opportunities with existing clients
- Create internal infrastructure and processes

## **Skills**

- At least five years of prior management consulting experience
  - Experience in the life sciences / pharmaceutical industry required
  - **Familiarity with the compliance industry preferred**
  - MBA preferred with 2+ years of post-MBA consulting experience
  - Bachelor's degree from top college or university required
  - Expertise in Microsoft Office and familiarity with Visio
- 

## **Job Description 40:**

### **Compliance Examiner**

Type: Full-time

Experience: Associate

Functions: General Business

Industries: Financial Services

## **Job Description**

### **Responsibilities:**

Review firm wide emails to **detect any violations in company policies or regulatory violations.**

Investigate and respond to verbal and written customer complaints and regulatory inquiries.

Analyze the facts to determine whether the complaint may have merit.

Apply rules and regulations of firm/FINRA/SEC to various situations.

Travel 4-6 weeks per year to branch offices to perform annual audits.

Participate in annual Compliance meetings/discussions with employees.

Approve branch office correspondence before it is sent to customers.

Explain brokerage rules, regulations and solutions in great detail to customers and employees and apply them to various situations.

Stay current with changes in regulations and industry practices.

Maintain a high degree of confidentiality.

### Experience:

2-3 years compliance industry experience required; experience in an online brokerage firm is preferred.

2-3 years experience with Word, Internet Explorer, and Excel.

### Education:

Bachelor's degree in Finance or Business or equivalent combination of education and experience.

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## **Job Description 41:**

### **Supervisor, Compliance**

Type: Full-time

Experience: Mid-Senior level

Industries: Financial Services

### **Job Description**

Our firm has a new opportunity for a Supervisor, AML Agent Review and Training.

This position is responsible for the supervision of the **AML Compliance** Phone Review and Training department staff members to ensure efficient and productive operations.

This includes effective management of the staff, performance appraisals, day-to-day workflow, department meetings, training, guidance and metrics reporting.

This role's team is specifically responsible for performing AML agent reviews and trainings to ensure the agent's knowledge of and conformance with anti-money laundering laws and other related MGI policy requirements.

They will address any deficiencies with the agents program, follow up with agents when necessary and communicate to key partners and leadership teams when the agent does not meet MGI compliance requirements.

### **Specifically, responsibilities include:**

Hire, train and lead multiple AML Compliance Phone Reviews.

Provide direct supervision, instruction, guidance and direction to staff based on policy requirements

Coordinate (phone) department workflow to ensure efficient and effective distribution of resources.

Monitor database for information integrity and consistency.

Provide feedback and coaching on job performance

**Provide training as needed on more complex issues and keep management informed**

Assist with developing, enhancing and implementing anti-money laundering review and training programs for United States-based agents.

Responsible for incorporating and implementing updated compliance procedures (within policy) as needed to address regulatory or business changes.

Maintain a sound working knowledge of relevant anti-money laundering laws, regulations, methods and crimes.

Keep abreast of AML trends and interpret the relevance and impact to the business.

**Assist staff by providing clarification, guidance and necessary training related to AML compliance regulations.**

Contribute in the development of anti-money laundering training material, as well as miscellaneous reference and communication materials.

Assist in creation of functional guidance and training, reference, and communication materials.

Analyze completed reviews to identify trends and patterns for reporting to management

Communicate results of reviews to compliance management and sales staff

Handle or oversee complicated special projects that arise from escalated issues involving agents.

**Provide monthly metrics and results to the Manager, AML Compliance.**

## **Skills**

All positions require the ability to model the Corporate Values of Respect, Courage, Passion, Teamwork and Integrity.

Demonstrates the 5 core competencies: Innovative Outlook, Power of Analysis, Ability to Communicate, Leadership Capability, Ability to Drive Change (Required).

## **Education:**

Bachelor of Arts in criminal justice or business, or equivalent combination of educational and work experience (Required).

## **Experience:**

Minimum three to five years work experience in fraud, compliance, credit or a related risk area in a banking or financial services environment (Required).

Minimum of two or more years of supervisory experience including effective interviewing, performance management, clarifying roles and responsibilities, fostering teamwork, facilitating/resolving team or individual conflicts, providing mentoring and coaching employee (Required).

Money laundering or related risk experience (Required). Knowledge of money laundering compliance requirements for money services businesses (Preferred).

Demonstrated ability to make quick, yet sound decisions, and communicate negative and adverse messages professionally, under difficult circumstances. (Required)

Proficient with MS Excel, Word and ability to learn database applications. (Required)

Demonstrated professional communication skills with internal and external customers, at varying levels in the organization. (Required)

Demonstrated organization and time management skills. (Required)

**Demonstrated ability to handle multiple priorities in a dynamic environment. (Required)**

**In-depth knowledge of mandates, operations, and policies of law enforcement organizations. This position also requires a broad base of knowledge of money laundering schemes and trends and a considerable knowledge of business practices across the country. (Preferred)**

**Demonstrated analytical skills – ability to find and evaluate information from internal and external sources, along with what is provided by agents, and make sound decisions about compliance (Required).**

**Fluent bilingual communication skills – Spanish/Chinese/Korean/Arabic/Hindi (Preferred).**

**Proven ability to communicate effectively with a culturally diverse customer base (Required).**

**Proven ability to professionally manage conflict with customers (Required).**

**Excellent demonstrated organizational skills, including time management, record keeping, self-scheduling, and follow-up (Required).**

**Must be able to work independently within guidelines, with minimal supervision (Required).**

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### 3. Sarbanes Oxley Managers and Professionals

#### Job Description 42:

#### IT Compliance Program Manager

##### Job Description:

- Document and assess IT internal controls over financial reporting as part of on-going SOX compliance efforts
- Design efficient procedures and methodologies to test controls relevant to SOX
- Intimate knowledge of SDLC methodologies and Change Management
- Efficiently test all controls across SOx in-scope applications with special focus on:
  - Access Management: Authentication, Authorization, Auditing
  - Principle of Least Privilege
  - Segregation of Duties
  - System functionalities and inter-dependencies
  - Configuration Management
- Specific focus on SAP access, authorization, change management, SDLC and Transport controls
- Evaluate internal control deficiencies and propose remediation strategies
- Build meaningful metrics to demonstrate continuous improvement in the audit process and in the efficacy of internal controls
- Design specific metrics to monitor control deficiencies and remediation accountabilities across all IT functional groups
- Identify automation opportunities to streamline application and infrastructure controls across IT functional groups

- Research and recommend deployment of supporting software tools
- Lead projects to automate and streamline controls across IT functional groups to minimize disruptive impacts on IT operations
- Transform SOX compliance into an operational practice
- Create and socialize the over-arching Governance, Risk and Compliance (GRC) framework
- Engage and partner with Internal Audit and the Corporate Sarbanes-Oxley 404 Compliance Team on special projects and operational compliance activities

The candidate will possess in depth knowledge of information technology, broad business experience and internal audit practices:

- Leverage knowledge of business process and Information Technology to partner in audit programs, execute risk assessments and directly contribute to the integrated audit process with Internal Audit and Corporate Sarbanes-Oxley 404 Compliance
- Negotiate and influence business process transformation and process improvements with business owners and systems stakeholders
- Recommend design of controls over existing and new business processes
- Ensure identified control gaps are addressed in a timely manner
- Ensure that all executive stakeholders have access to metrics which clearly represent the timely state of control gap remediation progress
- Develop and execute SOx Compliance Awareness Training programs based on audit findings and IT expertise
- General understanding of standard control frameworks: Cobit, COSO, ISO2700x, SAS 70 process - specific knowledge in at least one
- Additionally, the role will involve developing and maintaining in-depth understanding of the business and its external environment.

- The role requires the ability analyze and interpret the risk implications of changes in the compliance requirements and the control environment.
- The role requires risk management expertise to ensure creation and maintenance of effective risk mitigation strategies across all stakeholder groups: Business, Information Technology functional groups and Information Systems Security.

### **Additional proficiencies:**

- Build productive teams (often virtual, always matrix-ed) leveraging different skill sets, prioritize team objectives and assume accountability for team performance
- Build a network of relationships across IT functional groups, business peers and management
- Leverage relationships to gain business understanding, ensure alignment and identify risks

### **Influence development of broad-based risk management strategies**

- Build external networking relationships to maintain relevant industry knowledge, industry best practices and direct discovery of effectively executed tactics, strategies and technologies
- Resolve and reconcile conflicts as they arise and require resolution
- Commit to solid performance management by setting clear performance targets aligning individual capabilities, organizational maturity and organization goals to drive better results

### **- Education and experience requirements:**

Minimum of a Bachelor's degree in Computer Science/Information Systems Management; CPA/CISA/CISSP or equivalent professional certification desirable

- 10 years of experience in IT, Audit or Public Accounting

### Job Description 43:

#### **SOX Compliance Officer**

Type: Full-time

Experience: Mid-Senior level

#### **Job Description**

We are looking for a professional auditor with a strong analytic and preferably risk management background for our Finance Department.

The SOX-Compliance Officer will report directly to our European Controller.

As a SOX-Compliance Officer you are responsible for a correct usage of the Sarbanes-Oxley compliance act and identifying risks.

In order to be successful in this position you will deliver the following to both internal and external customers:

#### **Compliance Program**

Formulate, based on the global SOX compliance program, a plan to identify and prioritize compliance risks.

Develop ways to document processes.

#### **Communication**

Select ways to inform control and process owners about audits and create support for potential process changes and new procedures.

Communicate the Compliance Program and testing results with the auditors.

Train process owners in making process descriptions, indentifying risks and helping them creating SOX awareness throughout the company.

#### **Documentation**

Obtaining a clear description of the relevant processes.



Map the processes and activities of the departments in flow charts/process descriptions.

## Testing

Judge if the mapped processes and activities take place in a SOX compliant manner by performing tests of all indentified key controls. Select ways to simulate and analyze the processes.

## Test results

Communicate potential Sarbanes-Oxley compliance risk findings to process owners.

Make a remediation plan for not covered risks.

## Advice

Combine test results with documentation.

Think of possible solutions to minimize SOX compliance risks. Formulate advice for process and control owners.

## Management Reports

Formulate ad hoc reports for the external accountant and periodical reports for the European Controller, the Board of Directors and the global SOX team regarding progress and potentials risks.

## The ideal candidate has at least:

- 2 to 4, but not more then 10, years of audit experience plus several years working experience in a relevant business position;
- a bachelor degree in Finance or Business with a focus on auditing and risk management;
- thorough knowledge of the Sarbanes and Oxley (SOX) compliance act;
- a hands on mentality;
- and is fluent in Dutch and English.

## We offer

Crocs offers a competitive salary package, the opportunity to participate in the development of a new and fast growing shoe company and a diverse and international environment to work in.

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### Job Description 44:

#### **Sarbanes-Oxley (SOX) Remediation Project Manager**

##### **Business Overview**

The Information Security Program Office has an opening for a **Sarbanes-Oxley (SOX) Remediation Project Manager** to manage the assessment and remediation efforts for SOX application entitlements.

The candidate must have strong oral and written communication skills and be able to influence a broad range of stakeholders.

**Information Security is a critical IT risk management activity that is regulated by the Government and mandated by Corporate and Sector policy.**

The overall objective is to ensure function codes for the in-scope applications are accurate and complete to enable managers / delegates to conduct quality entitlement reviews in the Enterprise Entitlement Review System (EERS).

The SOX Remediation Project Manager will primarily interface with the Business and Application Owners as well as Business and Technology Information Security Officers (ISOs) globally to meet ongoing program milestones.

The candidate will also coordinate with the EERS Database Manager to perform updates into the remediation tracking tool and review program reporting for accuracy.

## **Key Responsibilities**

**Liaise with Business Owners and Business Information Security Officers (BISOs) to perform root cause analysis and coordinate entitlement remediation for in-scope applications.**

**Liaise with Application Managers and Technology Information Security Officers (TISOs) to assess and remedy all application architecture issues.**

**Ensure effective tracking and quality reporting on the status of the remediation effort.**

**Perform Application level Corrective Action Plan (CAP) Tracking on the remediation EERS feeds.**

**Serve as an ICG level subject matter expert on the SOX Remediation project and EERS feeds.**

**Assist in successful remediation for all Category 3 and 4 SOX functions by year-end 2010.**

**Improve Training & Awareness for development teams on existing feed standards.**

**Identify opportunities for process improvement at both the Corporate and ICG as it relates to quality assurance for new and existing EERS feeds, including updates to SDLC processes.**

## **Qualifications**

### **Experienced Required**

**Undergraduate degree required.**

**Operations, Compliance experience a plus**

**Must have very strong written/verbal communication, interpersonal, and presentation skills.**

**Must be a delivery-oriented person with excellent project management skills.**

**Strong PC skills - MS Excel, Word and Access a plus.**

Detail-oriented with advanced analytical and problem solving skills.

## **Main Competencies**

Demonstrated ability to manage projects and deadlines

Experience with management of operational staff a plus

Experience in financial services industry a plus

Training experience a plus

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## **Job Description 45:**

### **SOX Specialist**

## **JOB INFORMATION**

The SOX Internal Controls Specialist will under limited supervision, apply comprehensive understanding of the principles, concepts, practices, and standards of Sarbanes-Oxley compliance.

Perform complex duties related to supporting and managing SOX compliance efforts.

Prepare and review complex reports.

Perform research and analyses requested by management. May train staff.

## **KEY JOB FUNCTIONS**

Perform SOX testing for assigned business unit(s).

Write test plans.

Identify, track, and remediate deficiencies.

Develop and prepare SOX metrics.

Evaluate controls and processes for effectiveness.

Advise on improvement opportunities.

Create, update, and optimize current **SOX documentation**.

Create documentation for new processes and systems.

Ensure that documentation is compliant with standards.

Conduct research for and respond to inquiries from internal and external points of contact.

Advise management regarding business, internal programs, and activities as they related to internal control matters.

**Design and produce accurate and timely reports.**

Support coordination and delivery of internal and external training concerning business processes.

May identify, report, and test fraud controls.

May perform complex internal controls projects or participate as a team member on highly complex projects.

## **Qualifications**

### **EDUCATION**

Required: Bachelor Degree. Focus in Accounting, Business or Finance preferred.

### **MINIMUM EXPERIENCE**

5 years of related experience

### **SPECIALIZED KNOWLEDGE & SKILLS**

Prior experienced identifying relevant risks within business processes that impact financial reporting for the organization.

**Demonstrated ability to document and analyze a business or operational process from start to end in order to evaluate risk, identify controls, design testing program and establish the framework for overall risk assessment.**

**Ability to manage multiple projects within multiple lines of business at one time.**

**Demonstrated ability to scope out a project, develop business and staffing projections, gather business requirements, develop work streams, delegate responsibilities as needed, set and achieve deadlines, re-prioritize to accommodate shifting needs, and manage through completion.**

**Ability to build relationships and leverage influencing and negotiation skills to achieve objectives and implement change.**

**Demonstrated adaptability and flexibility for successful team collaboration in order to achieve SOX program objectives through constant coordination of activities.**

**Ability to articulate the current role of the firm in the market and a general understanding of the lending industry and secondary mortgage market.**

**Working knowledge of the lifecycle of a model.**

**Prior experience assessing appropriate use of financial models preferred, including validation of key assumptions and understanding the models' proper uses and limitations.**

**Strong analytical skills, including the ability to perform reasonableness checking of results of models under review and of own work.**

**Professional proficiency with MS Excel, MS Access and MS Project preferred.**

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## **Job Description 46:**

### **Sarbanes-Oxley (SOX) Database Manager**

#### **Position Overview**

ICG Information Security Program Office has an opening for a **Sarbanes-Oxley (SOX) Database manager to establish a tracking database within the Archer Tool for the SOX Remediation project.**

The overall object will be to support business and technology efforts to remediate function codes in **SOX applications** so that managers / delegates can conduct quality entitlement reviews in the Enterprise Entitlement Review System (EERS).

Information Security is a critical IT risk management activity that is regulated by the Government and mandated by Corporate and Sector policy.

**The SOX Database Manager is responsible for design, setup, and maintenance the SOX database and for ensuring effective tracking and quality metrics reporting for the SOX Remediation project to meet program deliverables.**

The candidate will primarily work with the core ICG SOX remediation team as well as Application Owners, Information Security Officers (ISOs) to remediate functions codes.

The candidate will also coordinate with the EERS development and Archer teams to setup feeds from EERS to Archer.

#### **Key Responsibilities**

Design, Setup, and maintenance of the SOX remediation database within the Archer Tool which will include:

Coordination with EERS and Archer teams to establish entitlement extracts

Ongoing maintenance of Archer Database to meet business requirements

Establishment and creation of ongoing monthly metrics, as well as ad-hoc reporting to SOX Program Stakeholders, KPMG and ARR.

**Serve as a part-time core SOX SME and liaise with ICG Business Owners, ISOs, and Application Managers to coordinate function code remediation.**

**Serve as the ICG level subject matter expert on the SOX Remediation project**

**Assist in successful remediation for all Category 3 and 4 SOX functions by year-end 2010.**

## **Qualifications**

### **Experienced Required**

**Undergraduate degree required.**

**Must be a delivery-oriented person with advanced analytical and problem solving skills.**

**Strong PC skills - MS Excel, Word and Access**

**Must be a delivery-oriented person with advanced analytical and problem solving skills.**

**Must have very strong written/verbal communication, interpersonal, and presentation skills.**

**CISSP, CISM, or CISA certifications a strong plus.**

### **Main Competencies**

**Experience with management, construction and design of computer databases**

**Experience in financial services industry a plus**

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### **Job Description 47:**

#### **Sarbanes-Oxley / Risk Management Consultant - 100k+**

**Industry: Business Services**

As a member of an elite group of global professionals, you will have the opportunity to partner with clients ranging from mid-size companies to the Fortune 100 to execute their internal initiatives.

You will stay relevant by solving a variety of diverse problems on the inside of business.

#### **Why consider a career as a Resources Global Professionals?**

- Join an entrepreneurial and evolving company
- Work with prestigious clients
- Enjoy a variety of projects across diverse industries
- Direct your professional career
- Participate in local and global practice groups
- Establish long-term relationships with colleagues
- Choose projects that are right for you
- Design your own work/life balance

#### **Do you have extensive experience in managing Sarbanes-Oxley compliance and assessing risk in an internal audit environment?**

Our firm is proactively seeking a talented, highly motivated business professional to join our Resources Audit Solutions practice and to assist our local client on a **Sarbanes-Oxley project**.

As the consultant on this project, you will have the opportunity to oversee risk assessment strategies and tools, **develop Sarbanes-Oxley plans, document business processes, design and execute testing strategies and assist in remediation efforts**

## Professional Qualifications:

- An undergraduate degree in business, accounting, finance or a similar field
- A combination of industry and/or Big 4 experience
- Previous experience with Sarbanes-Oxley 404 compliance
- A minimum of 7 years of experience working in an internal audit capacity for a medium to large size company
- Experience in detailed audit program preparation, risk assessment, evaluation and testing of internal controls
- CPA, CIA, CISA, or similar certifications
- Strong client relationship and project management skills
- A passion for a project work lifestyle

No relocation or employment sponsorship will be provided.

Our unique compensation package allows professionals to choose their client projects, while building lifetime relationships within our global community.

They earn competitive, professional service hourly rates and long-term benefits including professional knowledge sharing, medical/dental, 401(k), and an employee stock purchase plan.

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## **Job Description 48:**

### **Job Title: MANAGER, GLOBAL IT AUDIT**

#### **Overview**

We provide the perspectives and experience necessary to translate science into real solutions for patients in over 130 markets worldwide.

#### **Job Description**

##### **PRIMARY JOB FUNCTION:**

The Manager, Global Internal IT Audit, manages audits of the company's IT infrastructure and applications.

The IT Audit Manager is responsible for assessing the adequacy of Global Information Technology security and controls for the corporation.

This includes performing risk assessments of the Global IT policies, strategies and controls and then developing, budgeting and executing an IT audit plan.

The IT Audit Manager will lead, hire, develop and provide on the job training to the IT Corporate Audit personnel responsible for executing the audit plan which includes assessing and testing IT and business process controls and recommending control solutions to address any deficiencies.

The Manager will be responsible for developing work plans, ensuring high quality execution of audit or advisory projects while working around complex technology and application environments across different business processes divisions and locations while developing and reporting findings to Senior Management.

##### **CORE JOB RESPONSIBILITIES:**

Responsible for compliance with applicable Corporate and Divisional Policies and procedures.

- Perform the risk assessment of the IT control environment and develop an IT audit plan in coordination with the financial audit plan which evaluates the adequacy of the overall IT control environment.
- Plan, coordinate and approve detail audit work programs and supervise the execution of related IT audit work.

Prepare written reports highlighting all control and operational issues identified as well as a recommended action plan to address all issues.

Participate in pre-implementation reviews of new applications and activities related to acquisitions, divestitures, and third party contract reviews.

- Drive the development and implementation of a new Audit Software for use by the Audit Department to execute it's audit plan.
- Develop the audit rotation schedule and plan the allocation of IT audit resources based on audit scope and risk.

Identify opportunities to integrate IT audit with Financial and Sales and Marketing Compliance audit to help increase audit efficiency and effectiveness.

- Continually recruit, train, develop and place auditors into the worldwide IT organization.

### **POSITION ACCOUNTABILITY / SCOPE:**

This position is accountable to the Director, Global Internal IT Audit.

The Director is in turn accountable to the Corporate Vice President, Internal Audit, the Chief Financial Officer and the Audit Committee of the Board of Directors.

The Manager will also interact routinely with senior management at the affiliate and divisional levels.

The manager will coordinate internal audit efforts with those of external auditors to maximize external audit's reliance on Internal IT Audit testing of IT controls **in-scope for Sarbanes-Oxley 404 testing.**

## Skills/Experience Requirements

The incumbent should have 8 - 10 years of related work experience.

Part of the experience would have been obtained from employment with a “Big Four” Public Accounting/ Consulting firm and/or as a member of an internal audit staff performing financial and information technology audits; or a combination of these prerequisites.

## Education Requirements

Bachelor's degree

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## Job Description 49:

### SOX and Controls Sr. Auditor

#### Position Description

This position will perform controls and compliance functions for all departments within the Customer Processes area.

This position requires well developed skills in Sarbanes Oxley, internal controls, accounting, audit, business analysis, and process improvement.

This position will assist the Customer Process management teams with interpretation and analysis of internal controls, process improvements, SOX documentation/self assessment testing, facilitate internal/external audit inquiries/requests and GAAP/regulatory compliance ensuring the accuracy and integrity of financial information.

This role will require the individual to demonstrate the following skills.

Excellent verbal/written communication skills

Project/time management

Development of solution alternatives

Conflict management/resolution

Ability to obtain buy-in for solutions/recommendations

Lead teams to complete organizational goals are essential to this position

## **Key Responsibilities**

### **1. SOX/Internal Controls/Audit**

Develop, perform and document department audits, SOX documentation /testing and account analysis in accordance with audit, regulatory and reperformance standards.

Review processes in order to identify weaknesses and strengthen the control environment or improve the efficiency/effectiveness of the tasks performed.

Identify, design and implement process improvements to improve efficiencies and controls.

Lead projects and teams that implement the process improvements.

Perform detailed analysis and review of transactions with a strict adherence to GAAP, company and SOX compliance and policies.

Assist with process re-design to facilitate rebate system enhancements and automation of the current process.

Act as the liaison between internal/external audit and the process owners.

Ensure that audit objectives are accomplished, appropriate documentation is provided and timelines are achievable.

Document/update SOX narratives, perform self-assessment testing, develop remediation solutions and document remediation plans.

### **2. Business Analysis/Process Improvement**

Read and interpret customer contracts and supply agreements to determine the appropriate GAAP treatment and financial recording of transactions.

Develop and maintain process documentation.

Participate in the identification, development and improvement of department metrics to establish a baseline for performance.

### **3. Accounting**

Reconcile and analyze specified general ledger accounts; provide explanations for fluctuations in account balances.

Identify and communicate potential errors to ensure accurate and reliable financial statement reporting.

Research and resolve all general ledger reconciling items as required.

Ensure the month-end close process is completed accurately and timely.

Prepare monthly/quarterly department reporting.

Assist the field accountants with monthly P&L analysis for customer rebate expense.

Use various systems to extract data for purposes of rebate analysis, review and testing.

### **Minimum Requirements**

Minimum 8 years experience to include accounting, audit (external audit, internal audit or internal controls), SOX and general ledger analysis.

Technical requirements include intermediate to advanced knowledge of MS Excel and/or Access.

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### **Job Description 50:**

#### **Security Analyst**

Salary: £28000 - £37000 per annum + Pension+life+25 days holiday

Job type: Permanent

Working for this established and leading organisation, you will work as a senior member of the team and help the company achieve its promise to the business by ensuring compliance and working towards eradicating security breaches.

In a small team providing consulting services, you will be responsible for ensuring SOX compliance, deploying correct user access and rights and playing a pivotal role in the roll out of new business systems.

Suitable candidates must have excellent communication skills and have worked in a similar environment performing similar duties based on the specialist nature of the role.

This IS NOT a job that requires a high degree of technical competence around the administration of firewalls etc...

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### **Job Description 51:**

#### **IT Security Consultant – CISM / CISSP / CISA – Home based**

Location: London

Salary: 50000 - 65000 + bens

Company: Coal IT Services

Job type: Permanent

Leading Consultancy Services organisation with a strong client base covering both private and public sector are currently recruiting for an IT Security



Engineer with experience gained in information security technologies and design principles within data centre and telecommunications to work from home on a consultancy basis.

The IT Security Engineer will have sole responsibility for the identification, development, implementation and maintenance of security processes across the organisation to minimise risks, respond to security incidents, and limit liability in all areas of system and data security.

The successful IT Security Engineer will be the single point of contact for all security processes and procedures to both internal stakeholders and external vendors.

Other titles this role can be known as: Security Analyst / Network Security Engineer / Security Consultant / Security Administrator

### Key words related to the role:

Networking / Data Centre / Telecommunications / Telecoms / Risk / Compliance / Audit / SOX / COBIT / Design / Architecture / CISSP / Windows / Unix / Linux / Solaris / Application Servers / Java / Weblogic / .Net / TCP/IP / Internet / Extranet / Intranet / WAN / LAN / CISCO / Juniper / PIX / Netscreen / F5 BigIP / Firewalls / SOA / Service Oriented Architecture

Skills required for this role are strong hands on experience of Cisco Wan + Lan Skills, IP, VPN, IP –Sec, PIX, IDS, Routing Protocols, Windows and UNIX OS (Solaris, Linux,) configuration, demonstrable knowledge of Security Vulnerabilities, project planning experience, CISSP, CCSP, CCIP qualified (preferred), excellent communication skills, good interpersonal skills and able to think outside the box.

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## **Job Description 52:**

### **Compliance Analyst**

Location: NJ

Position Type: Full-Time, Employee

#### **Requirements:**

Bachelor's degree in Computer Science or equivalent work experience with 2 - 3 years audit experience.

3 - 5 years business experience preferably in the Insurance industry

2 - 3 years audit experience working in a global organization

2 - 3 years experience in developing audit & compliance programs & conducting IT and/or operational audits.

Knowledge of auditing concepts & principles.

Performs internal control reviews of O&S country and regional operations (policy life cycle, claims processing) and IT (system development standards, operating procedures, security, programming controls, backup and disaster recovery, and production support) organizations.

Knowledge of requirements for auditing of computing systems and procedures.

Knowledge of computer systems development life cycles.

Ability to gather data, compile information and prepare management reports.

Ability to communicate with and understand the requirements of professional staff in area of specialty.

## 4. **Basel ii** Managers and Professionals

### Job Description 53:

#### **Senior Risk Manager - Basel II- London**

Location: London

Salary: £65000 - £85000 per annum

Job type: Permanent

Date posted: 04/01/2010 18:03:09

This client, a **hugely successful financial services company**, is currently recruiting for a **Senior Risk Manager – Basel II- ICAAP, Pillar 3, Risk, Stress Analysis, Liquidity Proposals**.

Candidates must have an in depth knowledge of **Basel II requirements particularly in relation to ICAAP's and Pillar 3 disclosures**.

Candidates must have strong analytical skills, problem solving ability and excellent investigation and questioning skills.

Strong communication skills are essential.

Candidates must have strong risk management experience in financial services with good knowledge of risk management tools and techniques.

A solid understanding of business processes and strong project management skills are essential.

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## **Job Description 54:**

### **Valuation Specialist - Stress Testing**

**Location:** New York City, NY

**Position Type:** Permanent

**Employment type:** Full time

Global Investment Bank is looking to add a **Valuation Review specialist** to focus on MBS/ABS products.

The successful candidate will be responsible for analyzing and valuing the Bank's diverse MBS/ABS portfolio; **will design and maintain a robust valuations environment; design P&L decomposition to ensure full understanding of the quality of trading revenue; ensure market valuations are accurate, timely and representative of traded markets.**

### **Individual Responsibilities Include:**

- Manage comprehensive valuation of MBS/ABS portfolios through the monthly Mark Review process, as defined below:

### **Key Accountabilities:**

- Conduct bi-monthly Independent Price Verification (IPV) of designated complex trading books and ensure 100% coverage.

Ensure IPV issues outside accepted tolerances are reported and dealt with promptly.

Calculate monthly valuation adjustments.

- Provide **weekly reports on significant price changes & trends and their P&L impact on related trading books.**

Report significant valuation issues weekly. Maintain documentation audit trail history.

- Daily review of P&L decomp. in collaboration with Market Risk Group and provide alerts on material market information not incorporated in end of the day (EOD) values.

Liaise with IT, GRM and Product Control to design system requirements for the above.

Design ad hoc P&L decomp. for high risk portfolios, pending automation.

- Daily monitoring of Day 1 & trade exit P&L, Cash Flow and unrealized gains profile.

- Ongoing review of related valuations analysis conducted in the **Market Risk Group** and Product Control to ensure accuracy and consistency across all trading books.

- Develop new and enhance existing Valuation policies. Documentation of:

--- Methods & Practices

--- Sources of Market Data

--- **Prudential Valuations & Stress Test of Valuations.**

- Model & Valuation Methodology review:

--- Annually review & document choice amongst alternative valuation methods

--- Liaise with Model Vetting group to assess Valuation methods or model limitations

--- Design and monitor triggers to capture model deterioration

--- Quantify Valuation uncertainty by establishing qualitative & quantitative methods.

### **Qualifications include:**

- Bachelor's Degree in accounting, finance, economics, mathematics or related discipline, with advanced degree preferred

- Experience with MBS/ABS products. The ideal candidates will also have previous risk experience.
  - Solid practical knowledge of financial products, pricing and portfolio valuation.
  - Familiarity with accounting guidelines and pronouncements, Ability to identify and recommend changes to existing processes in order to improve and streamline those processes
  - Ability to work under pressure to complete responsibilities within identified deadlines
  - Comfortable taking initiative while prioritizing among multiple projects, tasks and deliverables
  - Strong written and verbal communication skills, with the ability to comfortably interact across all levels of the organization
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### **Job Description 55:**

#### **Associate Director, Risk Management / Stress Testing**

Location: USA-NY-New York City

Position Type: Permanent

Employment type: Full time

The Associate Director, Risk Management will be responsible for creating strategy, performing evaluations and modeling of counterparty exposures to the Clearing House particularly related to positions.

This will include using and developing tools to monitor P/L, Value At Risk, stress testing, and portfolio analytics.

Both qualitative and quantitative analyses are utilized to assess market, credit and operational risk to the Clearing House.

This position is also responsible for enhancing, maintaining and improving the daily operational and risk management processes under which the Clearing House functions.

Interaction with the Clearing Technology Department is required to implement systems enhancements supporting new margining techniques and expansion of CME business.

This role requires substantial interaction with customers as well as the ability to operate under time pressure.

### **Qualifications:**

Requirements of this position include, but are not limited to, the following:

MBA in Finance, Economics, or related field is required

Minimum of 7-10 years of experience in energy as well as futures and options

Minimum 5 years of market **risk experience**

Candidate must possess demonstrated quantitative, analytical, and problem solving skills and the ability to work flexibly in a team environment

Expertise in Microsoft Office, systems development, project management, and the ability to work with a variety of complex systems are required

The successful candidate must also possess strong oral and written communication skills as well as the ability to drive, manage and initiate risk management strategy and effectuate process for implementation

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## **Job Description 56:**

### **Senior Quantitative Risk Manager / Stress Testing**

**Location:** New York, NY

**Position Type:** Permanent

**Employment type:** Full time

Our clients are some of the top performing hedge funds and they are looking to "beef" up their risk management practices.

As a top quant risk management professional, you will bring at least 8 years of risk management in equities and other liquid instruments to the table.

In your capacity as risk manager at our fund, you will liaise with our portfolio management, research and operations and trading teams to set risk management policies and procedures as well as monitor, communicate and escalate any issues that might arise in the market, credit and operational risk for the fund and its various products.

You'll be tasked with developing quantitative/analytic models and reports to help monitor and manage risk on both a day-to-day and longer-term basis.

The ideal person will bring to the table 10 years of industry experience with a strong preference for candidates from quantitative trading firms.

You are expected to have extensive experience and understanding of VAR, sensitivity analysis, shock analysis and stress tests.

You should have broad product experience and an understanding of product-specific risk measures, such as DV01 and delta and gamma exposure.

Familiarity with risk systems such as RiskMetrics, Imagine, Algorithmics or Superderivatives is required.

All of our clients require exceptional communication skills, strong work ethics, detail oriented and strong interpersonal skills.



## **Job Description 57:**

### **Senior Decision Science Manager - Retail Risk**

**Location:** London

**Job type:** Permanent

**Salary:** £75,000 + Bonus, London Weighting & Benefits

#### **Key Accountabilities**

- Champion the development of a world-class Retail Decision Science team.
- Build and lead a team of Modelling and Analytical experts to ensure that Retail Decision Science builds excellent Retail Credit Risk models.
- Develop excellent business stakeholder relationships.
- Provide technical leadership and coaching to team.
- Develop and implement best practices within all aspect of Decision Science Modelling and Analytics.
- Help steer the business in the preparation of business cases and resource plans for individual model developments.

Oversee project management of individual model development projects and ensure all models are built on track and on budget, as well as managing the activities of teams working on such developments, to ensure that high quality models are delivered on time that meet business requirements and can be implemented.

#### **Candidate Profile**

- A good degree in a numerate subject, preferably at a postgraduate level, and preferably in a relevant subject (maths, statistics, operational research, economics)
- At least 5 years` experience in the development of risk models in Retail Banking

- Expert knowledge of modern risk management techniques within Retail Banking, and in the use of risk models throughout such an environment, including technical expertise of at least one major area
  - Industry-level expert in the use of statistical packages (including dealing with large datasets) and model development environments.
  - Industry-level expert in at least one technical area of expertise (e.g. application scoring, impairment models, **LGD models, Stress Testing models, etc.**)
  - Excellent team leadership, project and programme management and communication (both written and verbal) skills, including a proven track record in leading and motivating teams
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### **Job Description 58:**

#### **Data Risk Manager - CISSP Accreditation required.**

**Location:** London

**Salary:** £50k+ Package and Bonus.

**Job type:** Permanent

Data Risk Manager required for a media and marketing company based in the City.

This is an exciting opportunity that will offer the right candidate the chance to make the role their own.

- Promote and ensure compliance with all data protection and security requirements, legal and self-regulatory requirements, industry standards and best practice methodologies

- Ownership for all issues concerning data throughout the Group (including policies and procedures, data security, data protection compliance and training).
- To oversee the implementation of technologies and procedures to detect occurrences of misuse and in providing support to investigations where misuse has been detected.

### **Data Risk Manager Specific responsibilities will include:**

- Review of all data flows in and out of all Group businesses to ensure that appropriate technical and organisational measures are in place to properly secure all data.
- Ownership, management, audit and enforcement of all data management and security policies and procedures
- Managing the Group's response to prospective sponsors/clients due diligence on data security

Managing and coordinating DPA reviews, assessing outcomes and approving data access.

- Managing fraud and incident investigations, liaising with all appropriate internal and external parties.
- Performing data risk reviews as part of acquisition due diligence
- Creation or approval of all aspects of technical designs from a security perspective (including networks, servers, OS, databases, middleware and code)
- Leading periodic audits of IT Services (including penetration tests) and preparing for external audits.
- Reviewing and providing sign off for project releases to ensure compliance to security design requirements and test criteria, including participation in architectural and design reviews.

Reviewing project and change pipelines for changes/initiatives with security implications

Maintaining and managing Risk Register of key vulnerabilities and mitigations according to impact, probability and proximity.

Regularly reviewing security inputs (such as hosting reports, starters and leavers reports etc) to determine mitigation efficiency.

### **Data Risk Manager REQUIREMENTS:**

The candidate should have experience of data protection, security, risk and compliance related matters – preferably gained within a regulated and/or marketing services environment.

**S/he should be able to demonstrate experience of:**

Building and deploying effective data protection, data security and Information Security Management processes from starting point, as well as their ongoing, management, review, audit and enforcement

Compliance in organisations that rely on a partially outsourced model

**Data Risk Manager will require:**

Proactive and hands on approach

A thorough knowledge of the practical application of Data Protection and Privacy and Electronic Communication laws

Being conversant with security best practice including

BS27001/ISO27001 - ideally have authored corporate security policies as well as specific technology security policies

**Ability to balance risk analysis with marketing opportunities and make sound recommendations**

Excellent communication, negotiation and presentation skills

Desirable skills but not essential skills for Data Risk Manager:

- Principles of good network design
- CISM/CISSP qualified

- BS27001/ISO27001 conversant
- Familiar with generic IT audit practices/methodologies
- Experience in dealing with outsourced hosting and development partners

Experience in security / fraud investigations

Audit and compliance activity in a regulated industry (e.g. FSA)

Leadership/management experience.

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### **Job Description 59:**

#### **Regulatory Reporting Analyst - Basel - London**

Location: London

Salary: £30000 - £40000 per annum + Benefits

Job type: Permanent

This is an opportunity to join a major financial Services client **in a Basel reporting role.**

**You will ensure compliance with rules governing the calculation of capital under Basel II, and undertake reviews of rating model usage, MI and Governance.**

**This will include:**

**Providing advice on all aspects of rating model usage, infrastructure and governance.**

**Review and provide opinions on the quantitative and qualitative elements of model usage, data accuracy and reporting.**

**Build relationships with stakeholders in Credit, systems, Group risk and Audit.**

To apply for the role you will be a graduate in a numerate discipline with experience in retail banking and **knowledge of the Basel Accord**.

The successful candidate can expect a salary up to £40k plus competitive benefits.

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### **Job Description 60:**

#### **Basel II Modelling Manager - Retail Risk**

Salary: £40,000 - £55,000 + Car, Bonus & benefits

##### **Role Overview**

To lead and develop a team to ensure that Basel II Expected Loss models are world class, meet the requirements of all relevant legislation, and are continually improved.

##### **Accountabilities**

- To own, develop and maintain leading-edge Model Performance Monitoring and Annual Review processes whilst driving through Business-As-Usual activities supporting wider Retail business units.
- To support Retail **Basel II Model** development work through seeking out and developing new and innovative modelling techniques and solutions.
- Communicate and work with business stakeholders to build appropriate plans and manage the team to deliver against these plans.
- Develop and raise awareness of best practices within all aspect of **Basel II Modelling** and Analytics.
- Lead teams of credit risk analysts on the scoping, design, development, validation and implementation of **Basel II Expected Loss models**.

- Provide technical leadership and coaching to your team of model developers, and strive to take learning's from your team [to the wider Basel II Decision Science team, and beyond.](#)
- [To steer, successfully, all models and reviews of Basel EL Models](#) through the internal and external governance processes, ensuring compliance with Group standards and FSA regulation.
- Develop and maintain a network of external contacts within the risk industry and keep abreast

### [Candidate Profile](#)

- Extremely numerate with an excellent degree in a numerate discipline (preferably maths/statistics).
  - At least 5 years experience in the development of risk models in Retail Banking.
  - [Ideally, at least 3 years experience in the development of Retail Basel II EL models.](#)
  - Expert knowledge of modern risk management techniques within Retail Banking, and in the use of risk models within such an environment.
  - Comprehensive and broad knowledge of consumer lending products and markets, with particular emphasis on the [Basel II Accord](#) and its impact on these products and markets.
  - Experienced and competent in the use of statistical packages e.g. SAS (including dealing with large datasets) and model development environments.
  - Good team management, project management and communication (both written and verbal) skills, including the ability to lead and motivate others.
  - Proven influencing, verbal and written communication skills.
-

## **Job Description 61:**

### **Risk Analyst - Corporate Modeling - London, or, Scotland**

**Location:** London

**Job type:** Permanent

**Circa £50k - £60k + Full corporate benefits package.**

The successful candidate will have a good understanding of **risk and corporate modeling and will be able to produce comprehensive and well-structured analyses reports.**

He/she will be autonomous in his/her work and able to take initiative to carry it out successfully.

#### **The successful candidate will have the following experience:**

Experience of Corporate Modeling and extensive banking risk management using Business Intelligence applications when required.

Banking and financial products (credit, derivatives) - Broad Risk knowledge (credit risk, market risk, operational risk) - Business Intelligence applications (Data Warehouse, Data Marts, Reporting, Data Mining) - Financial mathematics (rate curves, discounting, etc), statistics / probabilities - **Risk regulation (Basel I, CAD, Basel II) - SAS skills - knowledge of the risk-specific SAS tools.**

**It would be desirable to have experience of: Financial products pricing methods (Black & Scholes), Risk models (Duration, Market VaR, Ratings, RaRoC, Credit Portfolio VaR), Bank Accounting and Project Management.**

**Keywords: Risk Analyst, London, Scotland, SAS, analyses reports, Basel I, Basel II, Risk models, Bank Accounting.**

**Additional Benefits; Pension, Healthcare, 25 Days Holiday + Additional Benefits**



## **Job Description 62:**

### **Credit Risk Regulation Manager**

#### **Overview**

Reporting to the Head of Credit Risk Regulation, the Manager of Credit Risk Regulation will be responsible for ensuring compliance with credit risk regulation and for working with Divisional and BU colleagues to implement changes there.

#### **The Business Area**

The role of the Capital Management team is to ensure that regulatory and economic capital is managed effectively within the Retail Division.

This is achieved by ensuring that:

- Capital is allocated effectively
- Capital requirements inherent in the Retail Division`s plan are understood (including in stressed economic conditions)
- The Retail Division meets its regulatory and legal obligations for external reporting and explanation of credit risk related information
- Credit models and Basel Internal Rating Systems used within Retail are subject to appropriate validation, oversight and governance.

#### **Accountabilities**

- Work with Divisional and BU colleagues to implement changes to credit risk regulation.
- Conduct a programme of BIPRU compliance assurance to cover all aspects of compliance including Use Test, Infrastructure, Data Quality etc.
- Ensure that any compliance gaps are reported and tracked through to resolution.

- Administer the governance framework for risk models and the usage of rating model outputs in business decision making.
- Stay abreast of relevant regulatory developments in order to ensure ongoing compliance and best practice across Retail Division.
- Manage a small team with expertise in credit risk regulation and assurance.
- Develop the technical and managerial skills of team members.

### **Candidate Profile**

- Business or numerate degree
  - 3+ years experience within the financial services sector, principally retail banking.
  - Strong presentation skills, particularly report writing.
  - **Very sound knowledge of the Basel Accord** and ability to interpret requirements (BIPRU) and understand implications for the Retail Division.
  - Results oriented and focused on delivering business impact; good stakeholder management and presentation skills (written and verbal)
  - Excellent communication skills including the ability to work with technical and non technical colleagues across the division and translate regulatory text into business requirements. Knowledge of retail credit or credit systems.
-

## **Job Description 63:**

### **Business Analyst Regulatory Reporting**

**Location:** City, London

**Salary:** £60000 - £70000 per annum + bonus, full benefits

**Job type:** Permanent

#### **Skills**

Lead Business Analyst Risk / Business Analysis expert required by a global market leader in Financial Regulatory Reporting, risk and compliance sector seeks an equally ambitious and dedicated Business Analyst to join their expansion plans due to huge demand for their services.

The successful Business Analyst will play a lead role in monitoring and interpreting Regulatory changes in the financial sector and in order to do this should establish good contact with Regulatory bodies.

Primarily involved in UK and Irish reporting but may occasionally be involved with other countries to help support the growth and expansion.

As the Lead internal Business Analyst you will Produce / translate functional specifications for the technical development team and support this team in the overall development and testing process until the final release.

You will be a lead business analyst, perhaps once a Regulatory Reporter who understands the absolute rules and enjoys composing them into a solution (FSA and Bank of England).

Excellent communication (written and oral) and interpersonal skills  
Responsible, methodical and organised Self-learner, able to find missing data and answers to questions, from multiple sources of information Assertive, being able to make expert decisions based on personal judgement and a strong leader.

Desirable features Good knowledge and experience of any or all of: Basel II, IFRS, SOX, MiFiD.

In return you will be joining one of the only growing companies in this area right now.

A market Leader going from strength to strength and as the market continues to strength they will continue to expand globally and as they do so will your career.

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### **Job Description 64:**

#### **Basel II Consultant at Pacific Management Systems, Inc.**

Type: Contract

Experience: Mid-Senior level

Functions: Consulting

Industries: Banking

Compensation: \$80 - \$90 Hourly

Referral Bonus: \$250 for Anyone.

Our client needs a consultant to provide advice and direction in the implementation and [use of Basel ii](#).

This is a [4-6 month assignment](#).

#### **[Skills](#)**

[Must have hands on experience in Basel ii.](#)

Need executive-level experience, and seasoned analysis and presentation skills.

Banking experience is a must.

Consulting experience is highly desired.

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## **Job Description 65:**

### **Sr. Team Leader Commercial Credit Scorecard - BASEL II (CA, USA)**

Type: Full-time

Experience: Mid-Senior level

Functions: Analyst, Management

Industries: Banking, Financial Services

## **Job Description**

Lead a team of quantitative analysts in the development and performance of probability of default scorecards, including maintenance, enhancement, calibration, back-testing and validation.

Perform ongoing scorecard analytics and preparation of reports & presentations to Senior Management and regulatory agencies.

## **Major Responsibilities**

Provide project management in the overall development and refinement of Commercial Credit Scorecards, templates or risk assessment tools for complete coverage of the commercial credit loan portfolio.

Ensure that each task keeps progressing while accommodating the ad hoc tasks and set backs.

Prioritize multiple simultaneous tasks, being able to make 80 / 20 trade offs as appropriate, and being able to reasonably set and meet deadlines.

Making quantitative analyses intelligible to all audiences, including summarizing statistical modeling results and model performance, and ensure that questions from the business, IRMG, regulators, etc. are answered.

Thought leader in discussions with senior credit and line managers to obtain expert feedback and foster buy-in of scorecard tools.

**Review other project team member projects to ensure analytic quality. Train / coach analysts on concept, methodology and processes.**

**Resolve conflicts internally and externally when project issues arise.**

**Provide thorough, audit quality, documentation of projects and processes.**

**Along with the Department Manager, liaise with various IT and Legacy System teams to form a strategic alliance to deliver high quality services for the group.**

**Along with the Department Manager, manage project schedules and finances including the budget, revenue and resource allocation.**

## **Skills**

**Bachelors / Masters degree (or higher) in statistics/finance/quantitative field, plus at least 5 years of related experience in the financial services industry.**

**Exceptional skills in quantitative methods and computer technology, including statistical analysis, and computer modeling, are necessary.**

**Technically sound in statistics and quantitative analysis with the ability to translate strategic concepts into practical reality.**

**Very strong, demonstrated organizational and team building skills is a must.**

**Outstanding problem solving skills with adeptness in identifying problems, and then the tenacity and drive to solve these problems.**

**Robust analytical skills and lateral thinking ability to identify underlying issues.**

**To solve the problems, the team leader must be pragmatic and creative depending on the situation, and also effectively make the trade offs between reaching the perfect solution vs. a good, manageable solution.**

**Outstanding communication skills: the team leader must be able to communicate professionally and proficiently via meetings, presentations, reports, and ad hoc conversations.**

**Very strong PC skills, and financial analysis skills.**

Proficiency in Excel/MS Office, MS Access, and statistical software, such as SAS required.

Additional programming languages and experience e.g. SQL, Java, C# are considered beneficial and desired.

**Working knowledge of BASEL II and its regulatory requirements** along with experience in accounting and finance.

Familiarity and proven experience with database design strategies and packages.

### **DESIRED / OPTIMAL:**

Familiar with wholesale credit, but certainly the ability to quickly understand and adapt to the conceptual framework related to commercial credit underwriting and risk grading / management.

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### **Job Description 66:**

#### **Senior Financial Accounting Analyst at Citigroup**

Type: Full-time

Experience: Mid-Senior level

Industries: Financial Services

### **Job Description**

The responsibilities and activities embodied in this position include:

- Assist in providing of consultation, advice, and guidance regarding the application of the **Basel I capital rules** to contemplated or consummated transactions and events at the behest of global constituents and various Corporate staffs.

- Develop knowledge of the **Basel II** capital rules, in order to assist in the providing of guidance and advice to others within the corporation regarding the regulatory capital treatment to be afforded various types of transactions and structures.
- Participate in analyzing and advising on the regulatory capital implications of broad Corporate strategic initiatives (including, for instance, potential M&A activities).
- Partner with the **Corporate Regulatory Reporting** team in addressing regulatory capital and reporting issues of significance.
- Interface with Corporate staffs (e.g., Accounting Policy, Treasury, Corporate Reporting) regarding certain regulatory capital matters.
- Garner exposure to Clearing House discussions as well as those with the U.S. banking agencies (Fed and OCC) regarding complex and/or nuanced regulatory capital or other relevant regulatory matters of significance.

The successful candidate will grow through a broadening of knowledge and, over time, in gaining wide exposure within the corporation.

Additionally, the candidate will likely interface with senior management.

## **Skills**

- Bachelor of Science Degree - Accounting Major
- CPA
- 5 - 10 years professional experience, preferably a combination of public (ideally Big 4) and private within the financial services industry (commercial or investment bank)
- Preferably GAAP Accounting Policy or Regulatory Reporting or Advisory experience
- Strong interpersonal skills; ability to communicate in a professional manner to a diverse audience
- Effective writing skills



- Honed analytical skills; Attentive to detail
  - Motivated self-starter; Eager to learn; Capable of working independently
  - Ability to multi-task in a professionally challenging and demanding environment
  - Team player
  - Word proficient; Excel familiarity a plus
- 

### **Job Description 67:**

#### **Senior Economist - Credit Analytics**

##### **Job Description**

Moody's Economy.com, a Division of Moody's Analytics located in West Chester, PA is a leading independent provider of economic, financial, country, and industry research designed to meet the diverse planning and information needs of businesses, governments, and professional investors worldwide.

You would be responsible for credit risk modeling, including the development, implementation, and validation of probability of default (PD) and loss given default (LGD) models using state-of-the-art statistical and econometric techniques.

Emphasis is on retail credit but with some exposure to corporate and other forms of risk modeling in partnership with sister companies within Moody's.

You would also be responsible for forecasting and simulation exercises, with emphasis on stress testing under alternative scenarios; contract consulting work with major industry players worldwide, which would involve proposal writing, modeling specification, estimation and validation, final reports and documentation writing; meeting with clients to discuss proposed and current projects; making presentations at conferences; and general client service, including serving as primary point of contact for credit risk modeling issues.

## Skills

Candidates should have Ph.D. in Finance, Statistics, Mathematics, Economics or closely related field.

Industry experience in quantitative risk modeling is strongly preferred.

Demonstrated knowledge of the **Basel II accord**, ability to communicate technical subject matter clearly and concisely to individuals from various backgrounds, and excellent writing, presentation and interpersonal skills are required.

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## Job Description 68:

### Director Compliance Risk Management

#### Responsibilities

**The Basel Pillar II Program Manager** will establish the **Pillar II Program Implementation Board (PIB)** framework and will:

Plan and create an agenda for each Pillar II PIB meeting.

Coordinate meetings with **Basel II Program Office** at least monthly or when circumstances warrant a meeting.

Coordinate meetings with other PIBs at least quarterly or when circumstances warrant a meeting.

**Meet with Pillar II PIB chairs at least weekly to keep them updated of progress of PIB activities.**

#### **The Pillar II Program Manager will also:**

Perform an analysis of the scope of work necessary to **ensure Basel II Pillar II compliance.**

Create a project plan which facilitates delivery of compliance.

Identify gaps which would preclude achieving compliance.

Develop and document a Pillar II data plan to ensure availability, traceability, and quality of data used for Wholesale model development and Wholesale reporting.

Develop and document cohesive approach for the overall Pillar II Implementation Plan, to include workstreams, projects, milestones, and gap identification and resolution.

Follow up on actions generated during each Pillar II PIB meeting.

Follow up on [Pillar II PIB](#) issues with owners and stakeholders, including setting up and hosting meetings to ensure and facilitate resolution.

Recommend the creation, ownership, and composition of Project Control Committees (PCCs) to complete Pillar II PIB work.

Act as liaison with Internal Audit for [ongoing Basel II audit](#), ensuring recommendations are captured and materials are presented to Audit team in a timely manner.

Report Pillar II PIB issues to [Basel II Program Office](#).

Report Pillar II PIB milestones to [Basel II Program Office](#) and follow up on these milestones with owners and stakeholders, including ensuring action plans are created and realistic target dates are set.

[Report Pillar II PIB gaps to Basel II Program Office and act as lead for Pillar II PIB gap resolution with owners and stakeholders](#)

[Report Pillar II PIB meeting minutes to Basel II Program Office and to other PIBs.](#)

[Prepare monthly Basel II Executive Program Implementation Board \(EPIB\) summary and recovery plan \(when required\) on behalf of Pillar II PIB](#)

Prepare any requested ad hoc materials for the [Basel II Executive Steering Committee](#).

Additionally, the Pillar II Program Manager will:

Oversee development of Credit Risk ICAAP to comport with Basel II requirements.

Oversee development of Stress Testing Framework to comport with Basel II requirements.

Work with PCRM to ensure Pillar II related process improvements are designed and implemented in accordance with Audit recommendations and regulatory guidance.

Proactively communicate with Executive Management, regulatory agencies, etc. to ensure a common understanding of the implications of Pillar II.

Work with Economic and Regulatory Capital Groups to understand implications to existing and required business processes.

## Qualifications

10 years related work experience

Proficient with Microsoft computer applications (Excel, PowerPoint, Word)

Excellent verbal and written communications

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## **Job Description 69:**

### **Market Risk Analyst**

**Location:** New York, NY

**Compensation:** Base and Bonus

**Position Type:** Permanent

**Employment type:** Full time

**Our client is looking for a junior Market Risk Analyst to help evaluate the price and risk associated with commodities, futures, options, and equities.**

**Requirements are as follows.**

**Deep knowledge of options risk and pricing is a must.**

**Must have a strong understanding of VaR and Stress Testing.**

**VBA, Access, SQL and basic modeling skills are a major plus.**

**Minimum 1-3 years experience.**

**The candidate must possess above average analytical skills and excellent product knowledge, especially knowledge of Futures and Options!!**

**Working knowledge of the Greeks required.**

**This role is an excellent opportunity to build your career with a market leader.**

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## **Job Description 70:**

### **Engagement Manager – Risk Management Strategy – Credit Risk / Economic Capital - New York**

#### **Engagement Manager - Risk Management Strategy**

Our client, a prestigious strategy consulting firm, is seeking an accomplished credit risk and economic capital professional to join their risk management practice as an engagement manager.

This practice helps clients understand and proactively manage risks across their organization, aiming to both improve earnings performance and lower earnings volatility.

They work with clients to develop and implement practical tools and sustainable processes that enable more informed strategic risk management decisions, improved risk mitigation, and increased transparency.

Projects range from comprehensive risk assessments, which are designed to identify risk exposures and risk drivers across the organization to linking risk-adjusted performance metrics (i.e., earnings at risk, value at risk, economic capital) with key strategic decision making processes (i.e., budget planning, large project approval, M&A, business portfolio design).

Engagement managers lead teams that design and apply sophisticated risk management models and methods at the enterprise level to allow financial institutions to make more informed strategic decisions, derive value from their current activities, and strengthen their transparency and corporate governance with a focus on capital usage, credit risk management and business performance improvement.

## **Requirements**

5 – 7 years with a major financial institution, professional services firm (Big 4) or management consulting organization with significant experience in corporate strategy development, the use of risk management techniques in strategic decision making, risk identification, risk quantification / quantitative modeling, risk management framework development and implementation with

an emphasis on credit risk management and capital usage (economic capital, [Basel II, credit risk management / credit portfolio management](#)).

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### Job Description 71:

#### **Manager Credit Risk Management**

Location: USA-NY

Position Type: Permanent

Employment type: Full time

Our client, [a world leader in management consulting, risk advisory and professional services](#), seeks an experienced and accomplished Credit Risk Management professional with a specialty in Counterparty Credit Risk Management to join its prestigious Risk Management Advisory Team.

Our client is a major professional services firm that consults to Major Financial Institutions regarding interest rate risk, commodity risk and equity risk management.

Projects will include consulting for credit risk, risk reporting (FASB 133 and related risk management accounting/risk reporting), market risk measurement, RAROC / RAPM (Risk Adjusted Return on Capital / Risk Adjusted Performance Measurement), PD / LGD / RWA / ICAAP, corporate treasury, derivatives pricing/valuation (VAR - Value at Risk), quantitative risk management methods and financial risk systems ( Algorithmics, Summit, SunGard, KMV, Risk Metrics, SAS, and similar risk management / credit risk packages ).

The Manager for Counterparty Credit Risk will lead teams that focus on helping clients pioneer sophisticated methods of counterparty credit risk management, establishing improved credit risk frameworks for limits reporting & monitoring, collateral management, CVA/credit exposure/sensitivities models & reporting, portfolio simulation, and optimize and enhance

counterparty credit risk best practices and methodologies and introducing cutting edge credit risk management technology to their enterprise.

Managers are responsible for running large, complex risk management / credit risk consulting projects, aggressively pursuing new business opportunities, contributing to the profitable operation of the practice and managing, mentoring and developing junior and middle level risk management / credit risk staff.

## Requirements

8+ years of counterparty credit risk / credit portfolio risk management experience in Financial Services or Management Consulting with significant exposure to Counterparty Credit Risk, sophisticated methods of credit portfolio / credit risk management, the credit risk life cycle at a major financial institution, limits and collateral frameworks, Credit Value Adjustment (CVA), Counterparty Exposure Management, credit and risk reporting, credit risk simulation, complex global risk and credit risk projects, a strong track record of building and leading risk management / credit risk project teams and a strong desire to apply one's professional experience with a Leading Risk Management Organization.

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## Job Description 72:

### ICAAP Manager

Location: India

### Job Description

### Responsibilities

1) In line with the Basel II compliance, the Bank has to develop an ICAAP process.



**The purpose of the ICAAP is to formulate and maintain on an on-going base:**

- \*The Bank's Risk appetite across various functions, and as a whole**
- \*Evaluate in detail the various risks that the Bank is exposed to, as a whole and to the various businesses that it undertakes.**
- \*Aid in the documentation and development of risk mitigation plans for each of these risks, so that the businesses can then actively manage these risks and ensure that at all times they are within the set tolerance level as defined in the Bank's risk appetite.**
- \*Evaluate the impact of stress / macro factors on the Bank**
- \*Incorporate the Bank's capital planning within the ICAAP over a 3-5 year horizon**

**2) The job requires the person to help build each of the above, through interactions with various businesses and other support functions, Fincon etc.**

**3) It will also require the person to do thorough and on-going research into best practices being followed across the banking world and incorporate/build on the same in the Bank's ICAAP.**

**The incumbent will need to ensure that the ICAAP is implemented across the bank**

**4) The incumbent will finally be the point coordinator with the RBI for the Supervisory Review Process for the ICAAP and any on-going interactions with them.**

**5) The incumbent will be measured by how well the ICAAP is developed, the level of detailing done, the ability to interact, negotiate and convince business groups to contribute to and follow the ICAAP, and the handling of interactions with the regulator.**

## Requirements

Candidate should be MBA in Finance ·

At least 3-4 years experience in a risk, central finance, consulting domain with exposure to various facts of the Banking business ·

Ability to work under pressures and for long hours as and when required ·

Excellent analytical, communications and interpersonal skills.

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### Job Description 73:

#### **Manager Capital Management - Stress Testing**

Location: USA

Employment type: Full time

Our client, a world leader in professional and advisory services, seeks an accomplished and experienced Risk Management Professional with significant experience in Capital Management and **Portfolio Stress Testing** to join its prestigious Risk Management Advisory Team.

This group advises a variety of Major Financial Institutions (banks, broker-dealers, insurance companies, asset managers, hedge funds) regarding interest rate risk, FX risk, commodity risk and equity risk management.

Projects include credit risk, risk reporting, market risk measurement (**VAR - Value at Risk**), **RAROC / RAPM ( Risk Adjusted Return on Capital / Risk Adjusted Performance Measurement )**, corporate treasury, derivatives/swaps pricing/valuation, quantitative risk management methods and financial risk systems / credit risk systems.

**Managers in Capital Management - Stress Testing** will manage integrated teams that focus on helping clients pioneer sophisticated methods of developing and implementing economic capital models, developing and

implementing successful methodologies for Portfolio Management, [Stress Testing](#), [Capital Forecasting](#) and [ICAAP](#) and enhancing and optimizing client's Capital Management Programs.

## Requirements

8+ years risk experience in Financial Services (Bank, Broker/Dealer, Insurance) , Regulatory (Federal Reserve, OCC) or Professional Services / Risk Advisory ( Big 4 or similar Risk Management Advisory ) with significant exposure to Capital Management, [Basel II](#), Capital Forecasting, Stress Testing and Credit Portfolio Management, and related risk management models and complex global risk projects.

The successful candidate will have advanced quantitative skills, a strong track record of managing mission critical risk management project teams and a desire to apply one's professional experience with a Leading Risk Management Organization.

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## Job Description 74:

### Credit/Operational Risk Management

Location: UK-London

Compensation: £50,000 plus banking benefits.

Position Type: Permanent

Employment type: Full time

Bank seek a capable person to [assist the Risk Manager to evaluate risk throughout the Bank](#).

Applicants should have a sound understanding of both operational and credit risk and be able to ensure adherence to [ICAAP](#) and assist departments with their self risk assessments. credit exposures, and limits etc.

An interesting, broad based role in a bank enjoying a further period of expansion and development.

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### **Job Description 75:**

## **SENIOR MANAGERS - MARKET RISK AND/OR SECURITISATIONS; ONE TECHNICAL MANAGER**

Location: UK-London

Compensation: Excellent compensation for the right candidates

Position Type: Permanent

Employment type: Full time

Regulatory and Risk Management team in international consultancy seeks Senior Managers.

Fast growing advisor to all types of financial firms on conduct of business issues, IT infrastructure, market, credit and operational risks, regulatory reporting and quant assistance. Market leader, first-class client base; career advancement.

The immediate need is for those experienced in

market risk and/or

securitisations; plus

one technical manager

and preference will be given to candidates at present working in the EU.

### **Job Purpose**

Our client's Regulatory and Risk Management team is a fast growing advisor to all types of financial firms.

Their product offerings range through conduct of business issues, IT infrastructure, market, credit and operational risks, regulatory reporting and quant assistance;

The Prudential team offers clients advice or hands on assistance with issues such as ICAAP, FSA model approvals, Pillar 3, legal entity structuring, new or amended authorisations, application of FSA handbook and systems implementation for reporting;

The team assists a range of clients from the leading international banks through to new start ups;

The team has grown rapidly from a small base in the past 12 months by recruiting individuals primarily with experience gained in the banking industry.

Client demand for our services continues to grow and further experienced hires are needed in order to lead our engagements;

This is an opportunity to join a growing team that is leading in its market and with a first class client base.

There is a history of career advancement in the team.

### **Responsibilities:**

The scale of managerial responsibilities will vary by grade:

Delivery of projects or documented analysis to clients;

Contribute to leadership of the Prudential team

i.e. marketing to clients, training junior staff;

Research specific regulatory topics and contribute to industry responses to FSA proposals;

Where appropriate, members of the team have been seconded to line roles in client organisations;

Lead teams to deliver client solutions - teams vary according to project needs from 2 up to 15 individuals.

## Successful candidates:

Knowledge of prudential regulation essential at all grades;

Background of team members typically includes one or more of the following:

- work in regulatory reporting within a regulated institution;
- working at the regulator on prudential matters;
- some work requires an accountancy qualification;
- previous consulting experience is not necessary;

Must be able to work with clients on practical solutions;

Senior Managers will have management experience

## Types of experience:

Suitable candidates may have experience in the following areas

- Basel 2;
  - ICAAP;
  - FSA or other leading regulators;
  - VaR model approval;
  - PD, LGD, EAD;
  - Securitisation Rules;
  - Capital planning;
  - Market Risk;
  - Credit Risk.
-

## **Job Description 76:**

### **Operational risk Manager - Regulatory Compliance, London**

**Location:** UK-London

**Compensation:** £65-75k

**Position Type:** Permanent

**Employment type:** Full time

**Global bank seeks Operational Risk manager to specialise in regulatory compliance.**

**You will be responsible for developing and implementing the banks Reporting Programme and ensuring that the local OR framework, processes and deliverables remain in compliance with related regulations**

**This role carries the responsibility for ownership of the local operational risk framework, policies, activities and specific deliverables (incl the ICAAP framework for OR) to ensure that on an ongoing basis, it complies with local regulations/ relevant principles (FSA rules, SOX, Basel, etc) and is fit for purpose.**

**Relevant changes in OR policies/ local practices are to be monitored to ensure compliance, understanding, dissemination and application**

**In order to qualify for this position, you must have the following:**

**Demonstrable experience of leading, implementing and developing reporting and KRI programmes in capital markets.**

**Relevant business experience in capital markets or financial services  
Information reporting, MIS, risk assessment, or performance measurement  
background**

**Previous Audit or Risk Management experience**

**In depth understanding of Operational, market and credit risk**

Expertise, in depth knowledge, and hands on experience of, the suite of OR related regulations ([including FSA rules, Basel, ICAAP, SOX](#))

Implementation experience and a strong knowledge of AMA requirements and challenges

Strong sense of motivation and initiative is required

Strong analytical skills and an understanding of Capital Markets and front to back processes.

Ability to work independently without immediate supervision and to lead a team/ proposition

Ability to work in a rapidly changing field

Strong project management experience

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### **Job Description 77:**

#### **Interest Rate Risk Manager - Modelling - Market Risk - ALM - Banking - London City**

Location: UK-London

Compensation: £60K + Benefits

Position Type: Permanent

Employment type: Full time

Leading UK Bank currently seeking [Modelling Manager](#) to join Group Treasury Function.

The job holder will be responsible for working with business units (retail, commercial, capital markets etc.) to build and run models capable of analysing business performance under different economic environments.



The role is highly analytical, requiring the job holder to work with the business to understand business drivers and be able to model those drivers in a complex and dynamic environment.

The role will require influencing skill, as the output from the analysis will be used to drive business behaviour, including hedging strategies, product offerings and funding plans.

The successful candidate will have the following responsibilities:

Build business models built in ALM software to analyse profit and loss behaviour under different economic scenarios.

Working with business leaders to develop assumptions to analyse how economic value reacts in stress tests and in specific scenarios and to build these assumptions into the model.

Working closely with the business to validate the inputs and results of the models to ensure full business by in of the results of the stress and scenario testing.

Perform monte carlo simulation on business models to deliver the Group's interest rate exposure for ICAAP under Basel II Produce ad hoc analysis of exposures and vulnerabilities in the business models using Bancware software

Support the Group's delivery of regulatory requirements, Liquidity and integrated Stress Testing.

### The Individual:

Good knowledge of retail & wholesale banking products preferably in a Group Treasury environment

Accomplished financial modelling skills

Excellent financial analysis skills

Excellent influencing skills

Building Asset and Liability models in simulation packages would be desirable but not required as full training will be available.

Good understanding of the structure and risks inherent in banking products, deals, corporate structure and overall make-up of bank balance sheets

High level of understanding of the risk drivers within a Group balance sheet

High level of financial modelling and IT literacy

Experience in a asset and liability management/ stress testing environment would be an advantage

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### **Job Description 78:**

#### **Capital Risk - Vice President**

**Morgan Stanley** is looking to recruit a talented Capital Risk professional at Vice President level.

#### **Position Description**

Join the team in London responsible for the risk reporting and **Basel II** requirements of the Credit Department.

The department is responsible for evaluating and monitoring the counterparty risk of the EMEA client base as well as the exposure on the UK regulated entities.

#### **Duties:**

Manage the processes that ensure the UK Group's continued compliance with the credit aspects of the FSA's Basel II regime and other regulatory requirements.

- **Production of daily Basel II credit risk capital adequacy calculations**
- **Key point person with Finance on discussions around RWA calculations**
- **Analysis of results and discussions with other depts on capital optimisation**

- IMM waiver application
- ICAAP/EU Economic Capital processes
- Ad hoc project work

## Skills Required

- Bachelors degree or equivalent in a Finance related subject
- Strong analytical and problem solving skills
- Enthusiastic, flexible and able to use own initiative
- Work well as a team member with proven leadership ability
- Excellent written and verbal communication skills

The successful candidate is **expected to demonstrate a solid understanding of Basel II, BIPRU, credit risk models, processes, internal policies and data.**

**This role does not, however, require advanced credit modeling skills**

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## **Job Description 79:**

### **Operational Risk - Regulatory Specialist**

My Client, a leading Global Bank, has a mandate to hire an **Operational Risk Professional.**

The role will primarily take responsibility for ensuring the Operational Risk function ensures the business adhere to the most current regulatory guidelines and operate in compliance with all relevant principles.

### **Key Responsibilities**

Amongst other more standard responsibilities you will take ownership of the framework and make sure it complies with all the relevant guidelines.

This will require a good understanding (not necessarily expert level) of [AMA / SOX / ICAAP / Mifid](#) and general policy & procedures knowledge, solely within the context of operational risk.

This is not going a quasi-audit role as you will be an integral member of the Operational Risk function with wider responsibilities including risk assessments and reports.

The position exists to make sure that the function is in the best possible shape and is recognised as a leading Operational Risk function from a regulatory perspective.

You will be required to keep up to date with all regulatory and legal information

### [Key Competencies required](#)

- \* The commercial experience and analytical mindset to be able to make sound recommendations on Operational Risk issues
  - \* [Contribute to the strategy and development of Operational Risk through extensive industry experience, knowledge and analysis](#)
  - \* Manage the process for evaluating and rectifying major incidents across the business, ensuring swift resolution of the incident, capturing lessons learnt and any ensuring actions for improvement are implemented
  - \* Excellent communication, reporting and networking skills
  - \* The ability to build rapport with the different types of individual across the business and develop strong relationships based around mutual respect in order to achieve multiple objectives in a constructive manner
-

## **Job Description 80:**

### **Interest Rate Modelling Manager**

One of the UK's leading banks has an excellent opportunity for an **Interest Rate Modelling Manager**.

The sits within the Treasury ALM team, Group Treasury

One of the UK's leading banks has an excellent opportunity for an Interest Rate Modelling Manager.

The sits within the Treasury ALM team, Group Treasury

The job holder will be responsible for working with business units (retail, commercial, global markets etc) to build and run models capable of analysing business performance under different economic environments.

**The role is highly analytical, requiring the job holder to work with the business to understand business drivers and be able to model those drivers in a complex and dynamic environment.**

The role will require influencing skill, as the output from the analysis will be used to drive business behaviour, including hedging strategies, product offerings and funding plans.

### **Responsibilities**

Business models built in **ALM software** to analyse profit and loss behaviour under different economic scenarios.

Working with business leaders to develop assumptions to analyse how economic value reacts in stress tests and in specific scenarios and to build these assumptions into the model

Working closely with the business to validate the inputs and results of the models to ensure full business by in of the results of the stress and scenario testing

Perform monte carlo simulation on business models to deliver the Group's interest rate exposure for **ICAAP under Basel II**

Produce ad hoc analysis of exposures and vulnerabilities in the business models using Bancware software

Support the Group's delivery of regulatory requirements, Liquidity and [integrated Stress Testing](#)

## [The Individual](#)

Good knowledge of retail and wholesale banking products preferably in a Group Treasury environment

Accomplished financial modelling skills

Excellent financial analysis skills

Excellent influencing skills

Building Asset and Liability models in simulation packages (preferably Bancware Convergence 5) would be desirable but not required as full training will be available.

Good understanding of the structure and risks inherent in banking products, deals, corporate structure and overall make-up of bank balance sheets

High level of understanding of the risk drivers within a Group balance sheet

High level of financial modelling and IT literacy

Experience in a asset and liability management/ [stress testing](#) environment would be an advantage

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## [Job Description 81:](#)

### [Project & Finance Fixed Income Manager](#)

An industry leading International Finance Institution are looking for a passionate and highly focused FI project accountant to join the European Finance and Accounting desk in London.

This position will give the candidate the opportunity to grow and gain vast exposure to the reporting function

### **Key Responsibilities:**

Assist in the implementation of finance related projects as well as a new FI business line in London

Provide project support and take responsibility for small scale projects

Involved in the implementation of new regulatory reporting software

Assisting with the implementation of all aspects of liquidity reporting

Responsible for ensuring smooth implementation of projects, including interfaces to the general ledger and regulatory reporting software

Updating the relevant ICAAP and assisting with creating/updating the ILAA as it relates to the FI business

### **Requirements:**

Must have relevant financial project accounting experience from a financial services organisation

Must have the ability to project manager small scale changes

Must have a good working knowledge of UK GAAP and FSA BIPRU regulatory reporting rules

It is essential that the candidate has a strong background with Fixed Income products

Must be at least part qualified or QBE - ACCA/CIMA

Educated to degree level or equivalent

Excellent analytical skills

Strong communication skills, both written and spoken

## **Job Description 82:**

### **Basel II, Credit Risk Project Manager**

**Location:** UK-London

**Compensation:** Contract paying 600-800 per day.

**Position Type:** Contract

**Employment type:** Full time

**Basel II, Credit Risk Project Manager, Trading Book, OTC Derivatives, Regulatory Reporting, Investment Banking, London.**

**The Basel II Credit Risk Project Manager will be focusing on project managing implementations on behalf of the credit risk systems function in relation to Basel II, principally with respect to AIRB immateriality and IMM approval and maintenance.**

**The role will include a broad involvement across front office trading systems, credit systems and finance systems, with the disciplines including trading and sales, credit analysis/regulatory reporting and IT development.**

**The Basel II Credit Risk Project Manager must have the following skills / understanding:**

- A proven track record of managing and delivering projects crossing departmental boundaries**
- Strong experience of working within an investment banking/derivative product environment.**
- Knowledge of Basel II in relation to counterparty and exposure models.**
- Strong attention to detail, with a meticulous approach to project planning**
- Business experience of working within a credit risk department.**

**Investment Banking Experience is a prerequisite for this role.**



### **Job Description 83:**

#### **Regulatory Reporting Manager**

This is an exciting opportunity for a qualified accountant to join our Capital Reporting team in a key regulatory reporting role within our Head Office in London.

**Our Regulatory Reporting team reports capital resources and reviews risks in adherence with Basel II.**

As a Manager in our team you will work closely with internal clients and Group Risk to consolidate, analyse and report on the data that pertains to your business groups.

You should ideally be ACA qualified or equivalent, with experience gained in financial services - either in practice or in industry.

You should be able to demonstrate a keen interest in regulatory reporting, including capital adequacy, coupled with outstanding communication skills.

In return, this role can offer you the opportunity to diversify your experience in a key, topical area, along with scope for progression and a dynamic working environment.

We will judge you on your ability and nothing else.

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### **Job Description 84:**

#### **Associate Director, Operational Risk, Group Risk**

The role delivers support, challenge and oversight on the implementation of the Group's Operational Risk Framework within the Group Centre Functions, providing expert technical knowledge on the management of operational risk and on internal control and assurance more widely.

The role delivers support, challenge and oversight on the implementation of the Group's Operational Risk Framework within the Group Centre Functions, providing expert technical knowledge on the management of operational risk and on internal control and assurance more widely.

### **Key accountabilities:**

Act as a trusted partner to the Group Centre Functions' (GCF) Leadership teams, supporting them in the identification, assessment, management and reporting of their **operational risks**.

Deliver subject-matter expertise on all operational risk management and internal control and reporting requirements across the Group Centre Functions

Review/challenge GCF management to ensure that their operational risk profile is being appropriately managed and reported.

Review and challenge the GCFs' operational risk profiles and associated control remediation plans.

Review Group Centre Function operational risk outputs for completeness, quality and accuracy, providing challenge, feedback/coaching as required.

**Escalate issues to the Group Operational Risk Director and Head of Operational Risk Reporting & Governance as appropriate.**

Plan and execute conformance reviews across the GCFs to ensure compliance with different elements of the group Operational Risk Framework.

### **Experience/skills required:**

Degree level education (or equivalent experience)

Practical operational risk management experience

Experience in banking / financial institutions preferred

Good understanding of functional business processes

Technical knowledge backed up by practical experience of operational risk management techniques and concepts

Knowledge of the regulatory environment and developments relating to operational risk, including [Basel II Accord](#), [Sarbanes Oxley](#), Turnbull and relevant FSA/other regulatory requirements

Understanding of governance and control frameworks

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### **Job Description 85:**

#### **Regional Finance Manager**

As a regional finance manager in this area you will be responsible for driving the direction of the regional Finance Director/ Manager team.

In addition to this you will establish appropriate means of communication and feedback channels with Stakeholders and getting agreement on overall priorities, exceptions and deliverables.

You will also determine prioritisation mechanisms within finance in delivery to stakeholders and conduct frequent, overall assessments of stakeholder relationships.

You will also be responsible for; Driving the delivery of solutions to meet and improve both local/group reporting requirements and regional management demands; Facilitate new products and structures (including those related to complex trades) and identify the key attributes to be monitored for all Financial reporting.

To succeed in this role you will be a qualified accountant who is an excellent communicator and has experience in negotiating successful outcomes including driving cross-functional consensus.

In addition to this you will have experience of leading projects and have a detailed understanding of accounting and control frameworks and relevant regulatory, capital adequacy regimes such as [BASEL II](#).

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## **Job Description 86:**

### **Operational Risk Control Director**

Location: UK-London

Compensation : c.£70-90,000+bens+bonus

Position Type: Permanent

Employment type: Full time

Our client a leading European Investment Bank **seeks an experienced Operational Risk professional to join the independent Operational Risk function and focus on Equities.**

Based in London, the Operational Risk function is an independent function which is responsible for the implementation of the Operational Risk Framework across the Investment Bank.

The team provides an independent and objective assessment of Operational Risk arising in the Investment Bank by assessing the integrity of each functions process to identify Operational Risk and the adequacy of the functions Operational Risk management techniques employed.

**The operational risk structure consists of global front-to-back and functional operational risk managers who have global and regional reporting lines.**

The risk managers will focus on the operational risks inherent in direct front office activities as well as ensuring that risks in other key areas **(Finance, IT, Risk, Operations, Legal and Compliance)** that impact market facing activities are made transparent, while Functional controllers will focus on the risks in key functional areas and will work with function heads in this regard.

The role is for an Operational Risk Analyst based in London focusing on risk control activities for the Equity businesses.

The risk managers primary objective is to ensure the establishment and effectiveness of the IB Control environment within the assigned Business area as well as to ensure all Operational Risks are identified, properly assessed and

recorded in the Operational Risk Inventory, and have adequate remediation plans to reduce the risks to an acceptable level.

The successful candidate will have strong relationship building, communication, analytical skills and will have demonstrated an ability to work effectively with and influence people up, down and across organizations.

The candidate must be a self starter and entrepreneurial with relevant experience in a global organization and strong knowledge of capital markets and trading activity in Equities and / or Fixed Income products front to back, and cross-product support functions.

This role requires specific technical knowledge of trading products and proven experience.

The candidate must possess strong knowledge of internal control design, traded product front-to-back processes, cross product support (incl. roles and responsibilities) and risk management principles.

Functional experience must include one or more of trading, product control, middle office, operations, business management, risk control and auditing (ideally combined with more recent functional experience); good knowledge of traded product information technology.

Product knowledge should include strong technical knowledge of equity products, a solid foundation in the building blocks of traded products, the functioning of capital markets and investment banking activities.

The knowledge of Basel II and Sarbanes-Oxley will be very useful and an Accounting Qualification would be preferable but not essential.

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## **Job Description 87:**

### **Regulatory Reporting Controller**

A Regulatory Reporting Controller is required by a leading investment bank to operate in the Corporate Finance, Transaction Banking and Loan Exposure Management business unit.

The selected candidate will support the CFO and Finance Manager team in the running of the Risk & Capital functions

### **Roles/Responsibilities**

- \*Management of Risk Global Reporting within the Global Banking business unit
- \*Operations Risk Management Coordination for Global Banking Finance business unit
- \*Global Banking Balance Sheet & Regulatory MIS Reporting
- \*Working closely with the Finance Director to reporting division results to external stake holders

### **Skills/Experience**

- \*Regulatory reporting focus
- \*Basel II experience
- \*Background in Product Control or Financial Control
- \*Previous relevant experience working in a top tier investment bank

### **Education/Qualifications**

- \*ACA qualified or equivalent
-

### **Job Description 88:**

#### **Market Risk - Regulatory Reporting - Tier 1 Investment Bank**

A major investment bank with a global reputation seeks to hire a market risk specialist to join their market risk management team in London with a focus on regulatory risk management.

Due to an increased need for transparency and accountability from regulators my client is eager to hire someone with a strong grasp of regulatory reporting to communicate with FSA and report dealings to senior management.

This role sits within a market risk management team and for this reason candidates will get exposure across a number of complex derivative classes.

However the main function of the role is to provide daily and monthly disclosures to the regulators in accordance to reporting requirements under CRD/Basel II.

Additional responsibilities include:

- Daily VaR back testing & reporting to regulatory bodies and senior risk management
  - Develop a new and robust regulatory risk framework
  - To formulate and deliver an ongoing Compliance Plan
-

## **Job Description 89:**

### **Regulatory Reporting Manager**

**Location:** UK-London

**Compensation:** £80,000 - £100,000

**Position Type:** Permanent

**Employment type:** Full time

This is an excellent opportunity for you to join a top performing global bank within their Senior Management Team

As the Regulatory Reporting Manager, you will be working within the Financial Control team with the prime responsibility of ensuring that they meet all its requirements for Financial Regulatory reporting in the UK.

This will require specific focus on the reporting and disclosures required under Pillars 1 and 3 of the Basel II framework and related statutory disclosures under IFRS7.

The successful regulatory reporting manager will need to ensure that the bank is managing its Capital, Liquidity and Regulatory reporting risk in an effective and efficient manner and is compliant with the framework set by Group Finance / Treasury.

The role holder will need to demonstrate both technical knowledge and the experience of working within this framework within a large Financial Institution.

The main responsibilities for the Regulatory Reporting manager will be as follows:

- Deliver monthly / quarterly information in an agreed timeframe (and agreed format) to Group Finance which is both complete and accurate in order for aggregated reports to be prepared and submitted to the Regulator.



- Work with Risk teams to ensure that the information reported remains compliant with the requirements and that the operating model in place continues to be fit for purpose.
- The Regulatory Reporting Manager will work with MI teams to ensure that the daily balance sheet maturity reporting requirements for Treasury liquidity reporting are met.
- Develop and Implement best practice reporting and control framework across all standalone Business units and deliver appropriate reporting capability.
- Work with Risk to understand the impact on capital demand of issues with the quality of underlying data, or issues within the end to end data transformation process.

Regulatory Reporting Manager will develop remediation plans to improve the reported position and manage senior stakeholder expectations through the forecasting process.

- Work with Product teams and Treasurer to deliver the requirements of the Liquidity Stress Testing framework.
- Work with Product, Risk and Treasury to drive the agenda and decision-making requirements of the Balance Sheet Management Committee.
- The regulatory reporting manager will maintain and enhance the control frameworks in place across the bank to ensure the activities undertaken by the team and the outputs provided are compliant with Regulatory Reporting risk framework and meet the efficiency requirements of Capital Risk framework.
- Contribute effectively to the overall Finance & Risk reporting and control strategy in order to drive out inefficiencies in processes and deliver improvements to both the capital and regulatory reporting operating models and to provide focus on capital optimisation initiatives.
- Contribute effectively to the Finance leadership team Strategic change agenda to ensure the function continues to improve the service it provides to its key stakeholders across the Business.

The successful Regulatory Reporting Manager must have the knowledge and experience to be able to present detailed, and in some case complex pieces of information or recommendations to the Executive committee, as well as being able cut into the detail and be in a position to help solve technical or operational problems with data accuracy, completeness and delivery.

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### **Job Description 90:**

#### **Credit Risk Quantitative Analyst**

#### **Company: Morgan Stanley**

Location: New York, NY

#### **Position Description:**

Morgan Stanley is seeking a strong Analyst for its Credit Risk Methodology team.

#### **Responsibilities include:**

- Develop and implement credit exposure **stress testing** methodologies
- Perform back testing of exposure models
- Work directly with credit officers to evaluate proposed trades and reach agreement on their credit risk intensity.
- Evaluate counterparty exposure of proposed derivative trades that are too complex to be covered by the firm's existing exposure models.

In this capacity, analyst will work closely with credit officers and with traders as the deal is structured.

#### **Skills Required:**

- Advanced degree ( M.S.) in a quantitative discipline (e.g., economic, mathematics, or finance with a quantitative undergraduate background.

- 1 to 4 years work experience in a quantitative research group at a commercial bank, investment bank, or consulting firm.

### Skills Desired:

- Experience with **Monte Carlo simulation** and numerical analysis (e.g., numerical integration, optimization techniques) would be desirable, but not required.

Statistical skills (e.g., probability theory, time series analysis) and facility with statistical packages (e.g., SAS) would be desirable but are not required.

- Knowledge of option pricing and stochastic calculus is required.

Facility with programming languages (preferably C)

- Facility with mathematical analysis packages (e.g., MATLAB) would be desirable but is not required
- 

### Job Description 91:

#### **Business Analyst, Credit Risk**

Location: UK-London

Compensation: to £450 a day

Position Type: Contract

Employment type: Full time

Our client is seeking an experienced **Business Analyst who possesses a strong background in credit risk and/or Basel II.**

The Engineering team, where this role sits, is responsible for the design, specification and implementation of data management processes that are used in the risk calculation process.

## **Responsibilities include:**

- \* Provide high quality Business Analysis to the high profile Credit Risk initiative**
- \* The remit is to fully document and understand a number of risk control issues originating at source, perpetuating poor Data Quality all the way upstream within the banks architecture**
- \* Schedule a remediation book of work accordingly**
- \* Be responsible for the analysis on, and reporting, of the various initiatives under the programme.**

**\* Coordination and exposure across multiple dimensions; regionally (Europe, Americas, AsiaPac) and across all business lines and across the full product range**

To be considered for this position you will need to demonstrate excellent technical Risk/Finance skills, strong problem solving ability, good verbal and written communication skills, and first-rate time management and multi-tasking ability.

The ability to influence and negotiate across organisational and hierarchical boundaries within the broader banking environment is also critical.

**The successful applicant will also require a strong working knowledge of Credit Risk management and Basel II principles.**

An in-depth knowledge of derivatives will be highly advantageous.

This is an excellent opportunity to join one of the world leading banks in an area that currently has a huge spotlight on it and make a real difference.

If you possess the required experience and are seeking a new challenge, please contact us immediately.

## **Job Description 92:**

### **Capital Risk - Vice President**

Morgan Stanley is looking to recruit a talented Capital Risk professional at Vice President level.

### **Position Description**

Join the team in London responsible for the risk reporting and Basel II requirements of the Credit Department.

The department is responsible for evaluating and monitoring the counterparty risk of the EMEA client base as well as the exposure on the UK regulated entities.

### **Duties:**

Manage the processes that ensure the UK Group's continued compliance with the credit aspects of the FSA's Basel II regime and other regulatory requirements.

- Production of daily Basel II credit risk capital adequacy calculations
- Key point person with Finance on discussions around RWA calculations
- Analysis of results and discussions with other depts on capital optimisation
- IMM waiver application
- ICAAP/EU Economic Capital processes
- Ad hoc project work

### **Skills Required**

- Bachelors degree or equivalent in a Finance related subject
- Strong analytical and problem solving skills
- Enthusiastic, flexible and able to use own initiative
- Work well as a team member with proven leadership ability

- Excellent written and verbal communication skills

The successful candidate is expected to demonstrate a solid understanding of Basel II, BIPRU, credit risk models, processes, internal policies and data.

This role does not, however, require advanced credit modeling skills

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### **Job Description 93:**

#### **Risk Reporting Vice President**

#### **Company: Morgan Stanley**

Location: UK-London

Position Type: Permanent

Employment type: Full time

Morgan Stanley is looking to recruit a **Risk Reporting Professional at Vice President level to join the Credit Risk Department in London**

#### **Position Description**

Join the team in London responsible for the risk reporting and **Basel II requirements of the Credit Department.**

The department is responsible for evaluating and monitoring the counterparty risk of the EMEA client base as well as the exposure on the UK regulated entities.

#### **Duties:**

Provide leadership and manage the team with the responsibilities below:

Evolving the risk management framework for the FSA regulated legal entities:

- Detailed legal entity risk reporting
- Setting legal entity exposure limits
- Management reporting
- Testing of new systems
- Increased integration of risk reporting and legal entity capital management

Involvement in other areas of credit risk reporting:

- Support departmental senior management's reporting needs.

This includes reports to track specific clients as well as reports to present to Firm Senior management.

- Perform segmental analysis of the portfolio and highlight trends and concentrations etc
- Wrong Way Risk reporting
- Country Risk reporting
- Other project work

## Skills Required

- Bachelors degree or equivalent in a Finance related subject
- Strong analytical and problem solving skills
- Enthusiastic, flexible and able to use own initiative
- Proven leadership/management skills
- Work well as a team member
- Excellent written and verbal communication skills
- Advanced Excel skills
- Ideally (but not imperative) basic SQL knowledge

## **5. Solvency ii Managers, Analysts and Professionals**

### **Job Description 94:**

#### **Solvency II Business Change Business Analyst**

**Location:** UK-London

**Position Type:** Contract

**Employment type:** Full time

**Major UK Financial Services organisation requires a Senior Business Analyst to facilitate a suite of projects focused on compliance to Solvency II.**

The Solvency II Business Change Business Analyst will have prior business analysis experience of delivering business change solutions within a risk, regulatory reporting or capital adequacy environment.

As such current experience of Solvency II is highly desirable or **previous experience of delivering Basel II business based projects.**

The candidate must have strong appreciation of risk or regulatory change and also be well versed in senior business analysis duties such as gathering requirements, documenting functional specs and testing.

#### **Specific Responsibilities of the Solvency II Business Change Business Analyst include:**

- Conducting and managing the analysis and capture of Solvency II and Finance business requirements
- Analysis of project risks
- Management of requirements change requests
- Analysis and documentation of functional requirements in the form of Functional Specifications for business sign-off, and IT development

The Solvency II Business Change Business Analyst ideally **will have previous experience of Basel II / Solvency II projects.**



Financial services or insurance, strong business analysis are both prerequisites for this role.

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### **Job Description 95:**

#### **Solvency II Business Change Project Manager**

Location: UK-London

Position Type: Contract

Employment type: Full time

Major UK Financial Services organisation requires a **Prince II qualified project manager to deliver a suite of projects focused on compliance to Solvency II.**

The Solvency II Business Change Project Manager will be proficient in delivering business change solutions within a risk, regulatory reporting or capital adequacy environment.

**As such current experience of Solvency II is highly desirable or previous experience of delivering Basel II business based projects.**

The ideal candidate will be a Prince II practitioner with strong relationship, stakeholder and man management skills and the ability to influence and effectively manage change through excellent communication.

#### **Main function of the role:**

- Provide support to the Programme Manager through planning and monitoring of work stream activities
- **Ensure the effective and efficient management of regulatory reporting, resources, risks and issues.**
- Provide assistance to the Programme Manager and workstream leader in setting goals and directing the day-to-day activities of the workstream

- Provide assistance to the Programme Manager and workstream leader in managing relationships with internal and external suppliers (such as GH0 IT and external software vendors), e.g. setting and agreeing target deliverables and milestones and tracking progress
- Project manage the ongoing regulatory reporting requirements arising **from Solvency II post-implementation**

The Solvency II Business Change Project Manager ideally will have **previous experience of delivering Basel II / Solvency II solutions.**

Financial services or insurance, strong business project management are both prerequisites for this role

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### **Job Description 96:**

#### **Solvency II Syndicate Project Accountant**

Location: UK-London

Compensation: Circa £80k fixed term contract

Position Type: Contract

Employment type: Full time

Operating within the Lloyds market this city based managing agency is looking for a project accountant to be responsible for finance policies and procedures around **Solvency II compliance.**

#### **Key Responsibilities of the accountant include:**

- Work closely with the Solvency II project team to prepare **for Solvency II by the end of 2010**
- Work closely with Finance Improvement working party to help achieve a full monthly financial close by the end of 2010

- Provide technical input into the syndicate IPO readiness project such that Group requirements are met
- Develop the Syndicate to Group reporting pack as requested by the Group Finance Director
- Automate production of the reporting process such that it is produced each month

### **Education, Qualifications, Knowledge Experience:**

- Qualified Accountant (or overseas equivalent) with experience in Insurance Management Accounting - Budgeting, Forecasting and Group Reporting
  - Knowledge of **financial reporting systems**
  - Experience of Lloyd's 3 year accounting methodology preferred
  - Experience of subsidiary MI reporting preferred
  - Excellent Excel Skills
  - Logical, thorough and analytical
  - Experience of working on projects
  - Experience of working on enhancing reporting processes
- 

### **Job Description 97:**

#### **Solvency II Supervisors - FSA**

**Location:** UK-London

**Compensation:** £30,000 - £81,000 dependent upon experience

**Position Type:** Permanent

Employment type: Full time

Associate & Senior Associate Supervisors £30,000 - £81,000 dependent upon experience

**At the Financial Services Authority (FSA), we can give you a unique insight to Solvency II** as part of the team responsible for its implementation, and a fascinating understanding of the future insurance regulatory framework.

**Make no mistake, your work will drive the development of the major insurance firms and help to protect millions of consumers.**

You'll be instrumental in the successful implementation of Solvency II, as well as the delivery of our regular supervisory work, at a critical time for the UK financial sector.

These roles involve establishing strong relationships with the most senior levels of management at a wide range of firms, both nationally and internationally.

Your objectives will be to proactively identify and mitigate risks to our objectives including ARROW risk assessments, and work with firms to assess their internal capital models and agree appropriate levels of regulatory capital.

Key, therefore, will be your ability to communicate our expectations clearly to firms and ensure intended outcomes are achieved.

With broad knowledge of the UK insurance market (both non-life and life) and the issues facing regulated firms, you will need strong risk/financial analysis, numerical and interpersonal skills – relationship management experience would be a bonus, as would a relevant professional qualification.

You should also be a pragmatic, outcomes-focused team player willing to take on new responsibilities.

## **Job Description 98:**

### **Accounting Policy Manager**

**Location:** UK-London

**Compensation:** £55 000 - £65 000 + Bonus + Benefits

**Position Type:** Permanent

**Employment type:** Full time

Leading Insurance Company seeks an Accounting Policy professional to project manage the implementation of Solvency II and develop the company's accounting policy including the strategy for the adoption of international accounting standards.

### **Key Responsibilities and Accountabilities**

- Participate in the Solvency II modelling work and quantitative impact studies.
- Attend meetings with HMT, FSA, industry practitioners, trade association representatives (ABI and IUA) and other interested parties to discuss EU Solvency II project as proposals emerge.
- Review consultation papers and summarise for relevant departments and market (e.g. managing agents)
- Monitor IAS developments (particularly in relation to Phase II of the insurance contracts project) and influence IASB proposals
- Engage the market on IAS issues and ensure proper guidance on IAS is given.
- Educate Corporation staff on implications of adoption of IAS.
- Review papers prepared by sub-committees on accounting and solvency and provide comments and suggestions as appropriate.

## Skills, Knowledge and Experience

- Qualified accountant, preferably with significant experience in the insurance market
  - Staff management experience
  - Sound understanding of financial and regulatory reporting in the insurance market
  - **Good understanding of Solvency II and/or IFRS**
  - Knowledge of capital and solvency rules
  - Advanced knowledge of excel and access
- 

## Job Description 99:

### **Risk Programme Manager - Solvency 2 (£800 - £1000 p/d)**

Type: Contract

Experience: Mid-Senior level

Functions: Consulting, Finance, Project Management

Industries: Financial Services, Insurance

## Job Description

Programme Manager to lead significant work stream within our client's wider Solvency 2 programme directorate.

The role will require you to **plan, mobilise and structure the effort required to deliver all necessary change to our clients existing risk governance operating model; as well as identify all data requirements to support the groups ORSA process / return.**

You will interact with a number of geographically dispersed stakeholder areas including Risk, Audit, Actuarial, Underwriting and Operations and have a solid understanding of Life and Pensions, and General Insurance Industry.

The successful individual will have deep understanding **Enterprise Risk Management and risk governance** frameworks as well as a solid grounding in the objectives of Solvency 2 and Risk Capital Management.

Ideally you will come from a Risk Advisory background and have previous experience leading programmes with a strong focus on the implementation of risk policies including risk appetite, model governance standards etc at the enterprise level.

**Other attributes / qualification we look for are;**

- Strong background in Operational Risk
- Qualified programme / project Manager
- Highly influential and persuasive at all levels of management
- Consultancy grade documentation skills

This is an excellent opportunity to join one of the industry's **largest Solvency 2 programmes** and lead a strategic programme of work that will result in significant change across the organisation.

Our clients include the world's leading Investment Banks, Insurers and Hedge Funds with whom we work to deliver critical programmes and strategic change agendas.

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## **Job Description 100:**

### **Programme Manager -Solvency II**

Salary: £62000.00 - £85000.00 per annum + 12 % Car allowance + Benefits

A **Solvency II Programme Manager** is required to join one the UKs leading Financial Services companies to spearhead the regulatory change/Solvency II transformation.

Being part of the Reporting Centre will see you being a key strategic figure in preparing and managing the **full life cycle Solvency II implementation**, this is a groundbreaking opportunity and stepping stone to being part of an internationally recognised Group who are consistently regarded as "one of the best organisations to work for".

Reporting to the Head of Finance Transformation, you will be managing a complex programme ranging from £5-10million, this will see you being the key figure behind the Inception and **Governance, Planning, Risk and Issue Management**, as well as **building and managing a team to meet the preparation of the new EU framework**.

#### **In order to apply for the role you must have the following:**

- Strong experience within the Financial Services (Preferably Insurance), with focus on Regulatory Reporting/Change, Legislations or Solvency II.
- Evident experience of working with a Reporting Centre or equivalent
- A track record of working on projects within an Actuarial environment (Design and Delivery)
- The ability to Lead/Manager large scale and business critical programmes £5-10m
- Excellent stakeholder management skills

**Please note: You must have Insurance experience, Basel II (Banking - with Insurance experience would be beneficial).**



### **Job Description 101:**

#### **Solvency II Consultant - £55-75k base + car + bens**

Location: City, London

Salary: £55000 - £75000 per annum + Car + Bens

Job type: Permanent

Global consultancy organisation requires a Project Manager/Business Analyst to coordinate client-facing **Solvency II activities**.

Key requirements include risk analysis of existing business processes, managing requirement definition with key stake holders, **advising on Solvency II strategy, framework, methodology and road map to compliance along with delivering major project milestones**.

This position will suit candidates with a strong track record in risk and compliance within the Insurance sector either from a Tier 1 or boutique consultancy or an end user perspective.

An existing appreciation of Solvency II standards for the Insurance sector is extremely advantageous.

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### **Job Description 102:**

#### **Senior Analysts – Life Actuarial Team - FSA**

Location: UK-London

Position Type: Permanent

Employment type: Full time

**If you want to gain a truly unique view of Solvency II development, plus the opportunity to shape prudential regulation both domestically and internationally, bring your expertise to the Financial Services Authority (FSA).**

**Our Life Actuarial Team – part of the Insurance Department within the Retail Firms Division of our new Supervision unit – is integral to taking forward our Solvency II internal model assessment approach.**

**Joining the team, you will be at the forefront of the insurance industry's understanding of capital modelling and the evolution of the quantification of risk within the new regulatory framework.**

**Your initial 12-24 months will be spent exclusively on Solvency II internal model development activity, as part of a group of specialists dedicated to progressing the design for the implementation of internal model assessment.**

**You can expect to be involved in thematic reviews, pilot exercises and testing, and providing advice, research and thought leadership.**

**At the end of this phase, you will continue to be involved in Solvency II implementation while contributing to the 'business as usual' functions of the team.**

**This will involve providing actuarial advice and support to all life insurance Supervision teams as well as other areas of the FSA.**

**A qualified actuary, you will have ICAS or Solvency II experience along with strong knowledge of capital modelling and the risk framework within which it operates – broad experience of insurance firms and their capital modelling systems and processes would also be useful.**

**Both a self-starter and a team player, you will have the ability to translate technical concepts into practical solutions, plus the well-developed stakeholder management skills to influence and negotiate at the highest levels.**

### **Job Description 103:**

#### **Head Of Financial Risk**

**Location: UK-London**

This is an exciting senior risk position **accountable to the CRO and the board.**

Responsible for risk policy and control across both the Insurance and retail business.

The successful candidate will be responsible for **setting policy and managing the financial risks across the business which will include credit, insurance, market and asset liability.**

Provide specialist advice to the business and provide risk assessments of new business ventures.

Play an instrumental role in developing the risk appetite framework and the impact on capital allocation. Provide risk reporting across the key risk areas and manage exposures.

Managing a team of six risk professionals.

The candidate sought will have a proven track record on delivering on risk management objectives at a senior level.

**A depth of understanding regarding the UK life and pensions industry as well as significant experience of working with the FSA. Previous experience of Solvency II. The candidate will be comfortable managing and leading a team.**

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## **Job Description 104:**

### **Senior Operational Risk Manager**

**Location:** UK-London

**Compensation:** £85,000 basic + Car Allowance (£18,000), Discretionary Bonus + Benefits

**Position Type:** Permanent

**Employment type:** Full time

This wholesale insurance firm with a significant presence on the Lloyd's insurance market in London are actively hiring for **an established Senior Operational Risk Manager to assume responsibility for 7 staff.**

You will have significant strategic input into the overall corporate governance of this major international brand liaising with key stakeholders on a global basis.

The successful candidate will be required to **influence, educate and incentivise staff at all levels through direct one to one discussion as well as group workshops.**

Strong communication skills in this sense will be essential.

As an employer this business has one of the best reputations within the wider financial services industry and would provide the successful candidate with an excellent working culture.

### **Responsibilities will include :**

Overall management of and accountability for the Operational Risk Department ensuring that Risk Management meets the organisation's minimum standard

Ensure that all associated businesses meet the minimum standard in an appropriate manner, i.e. incorporating a risk based approach to the application of the standard.

Oversee and deliver departmental processes for oversight of the standard by Risk Executives, ensuring that the firm has a detailed and accurate view of their managing agency's framework and capabilities.

Conducting desktop reviews of board structures, formal governance reviews

Conducting interviews with board members and non-executives.

Responding to governance issues as they arise.

Overseeing processes that maintain corporate governance best practices by effectively handling:

Reviewing Change of Control issues

Oversee the delivery of managing agent and thematic reviews based upon risk based planning processes whilst ensuring quality and completeness of reviews carried out.

Develop and deliver the approach and process to review qualitative aspects of managing agent [Solvency II readiness](#).

Joint working with the Risk Analysis team to develop new approaches and methodologies for [Solvency II \(such as the ORSA\) to be implemented both internally and rolled out to managing agents by the Operational Risk team](#).

Line manager for 1 Manager, 1 Senior Risk Executive (i.e. 2 direct reports) as well as oversight of 5 Risk Executives / Analysts (not direct reports).

Supervise and mentor staff to ensure their effective performance and continuing personal development.

Conduct additional Business Continuity duties as and when necessary

## [Skills Required](#)

[Technical expert in Risk Management, Governance and managing agent operations as well as capital setting in the insurance industry.](#)

Relevant degree and post graduate qualification (or equivalent experience).

Specialist in Financial Services with significant industry experience.

High degree of influencing skills, both for internal and external stakeholders at a senior level.

High level of written, verbal, inter-personal and presentational communication ability.

Ability to manage large teams with a complex degree of stakeholder interactions.

Skill in decision-making & judgement in complex and challenging situations.

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### **Job Description 105:**

#### **Insurance Risk Manager**

Location : UK-London

Compensation: Excellent Package

Position Type: Permanent

Employment type: Full time

**\* Excellent opportunity within one of the leading international insurers/reinsurers \***

Our client is one of the world's leading international insurers/reinsurers. They are seeking an **Insurance Risk Manager** to join the business.

This role will be responsible for embedding the brands risk framework within the insurance business.

Through working closely with the business to understand their objectives, this will translate to the recommendation, design and implementation of risk dashboards to satisfy the business needs.

This role will be responsible for ensuring such dashboards are integral to the Internal Model of EO Enterprise Risk Management, including the capital model.

### **Responsibilities:**

- Develop risk dashboards (focusing on non-operational risks, e.g. underwriting and investments) in conjunction with the business including:

- ? Risk identification

- ? Risk appetite

- ? Risk assessment

- ? Stress and scenario testing

- ? KRI summary

- ? Control issues

- Ensure dashboards are produced regularly and stay relevant to the business objectives. Monitor and evidence their use in the decision making process
- Create the link between the risk dashboards and the capital model
- Develop aggregate dashboards that combine a number of different risk areas including “holistic” stress and scenario tests
- Support the brands EO Solvency II Programme in understanding and meeting the regulatory requirements including developing the necessary documentation
- Liaising with regulators and the wider insurance industry to ensure the business’ views are represented

### **Requirements & Experience:**

#### **Skills:**

- Highly numerate with good analytical skills

- Accuracy and attention to detail
- Ability to work both independently and with guidance
- Knowledge of capital modelling software
- Skills in Excel, Access and VBA desirable
- Ability to interact and build relationships across the organisation

### **Experience:**

- Extensive knowledge of risk and capital modelling in a non-life insurance context
  - Actuarial and financial modelling
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### **Job Description 106:**

#### **Head Of Group Analytics Architecture,**

**Location:** UK-London

**Compensation:** 80-100k plus excellent benefit package

**Position Type:** Permanent

**Employment type:** Full time

**My client, a market leading and global organisation, has a vacancy for Head of Analytics Architecture.**

**Regulation such as Solvency II, the prevalence of eCommerce and the use of analytics by other organisations to drive business value has placed Analytics Architecture at the heart of this company's 2010-2012 agenda.**

**They now face an unprecedented need for common, consistent, trustworthy, timely and transparent business analytics for their decision management.**



Reporting to the Chief Enterprise Architect the role holder is critical in shaping, building and placing Analytic Architecture centre stage across the group.

You will bring extensive, specific, and practical experience to coordinate the movement, enhancement, integration, quality and availability of analytic insights, results, and decisions across the firm working closely with peers in the regions across Technology and the broader business.

### **Specifically:**

Lead the translation of complex business requirements into specific systems, application, and process designs; collaborating across regional IT and business peers in analytics pursuits and delivery engagements; and provide high-level solution design and on-going advice throughout the technology adoption life cycle.

It is imperative that you can bring both broad expertise of Enterprise Architecture and the focus of a recognised expert in Business Analytics.

You will be an individual comfortable with ambiguity, results oriented and able to make progress in a Matrix global organisation.

This can be based in London, York or Norwich, or in Chicago US. The role will require extensive global travel.

### **Essential Skills/Knowledge:**

Analytics Architecture, Business Analytics, Information Architecture, broad understanding of IT service operations and change management, demonstrably strong cross cultural influencing skills, ability to deal with ambiguity and IT project management.

### **Essential Experience:**

Design and deployment of enterprise solutions in a technical consulting environment in a senior capacity; Enterprise information integration; and expert level knowledge of one or more horizontal business process areas: **Customer Relationship Management, Audit and Compliance, Financial**

Management, Product Lifecycle Management, Human Resource management.

This is an excellent opportunity to join a major Global Organisation, excellent remuneration.

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### **Job Description 107:**

#### **Data & Analysis Manager**

Location: UK-London

Position Type: Permanent

Employment type: Full time

My client are one of the UK's largest asset managers, managing a wide range of both internal and external clients' funds.

With new European insurance regulation due in 2012, my client are focused on the insurers' increased requirements and the importance of automating Key Responsibilities and Accountabilities:

Development and maintenance of tactical data delivery and management solutions using the existing systems and appropriate methods to meet tactical and strategic project objectives

Implement / document and maintain solutions to automate and streamline data and information delivery processes

Provide assistance to the release build process, identifying improvements to the process and implementing solutions

Liaison with project managers and business users to understand and formulate business requirements where required.

Work with IT in the design of solutions and applications in line with all relevant technical standards and with an emphasis on long-term supportability.

Ensuring all developments adhere to coding standards, development methodology standards, documentation standards, and any other standards as they may be set going forward;

Ensuring all technical designs and new technologies are reviewed and approved by the appropriate project managers and business unit Solvency II coordinators where required.

A proactive role in how to improve development practices in the team and across the department.

Work with other IT (infrastructure and development) teams.

**To be considered for this role you must have the following capabilities:**

Systems experience in a financial institution

Understanding of a wide range of financial instruments, including fixed income and derivatives.

Excellent knowledge of SQL, VBA and Excel

Good time management, written and verbal communication skills

Self motivated

Ability to work to deadlines

ability to work with developers and business users

Ideally you will have experience of working with vendor supplied solutions, although this is not essential.

## 6. Hedge Funds Risk Professionals

### Job Description 108:

#### Market Risk Consultant - Hedge Fund (£800 p/d)

Type: Contract

Experience: Mid-Senior level

Functions: Analyst, Consulting, Finance

Industries: Banking, Investment Management

### Job Description

Our firm is looking for a Market Risk consultant to join a **strategic risk transformation engagement** with a leading Hedge Fund & Asset Manager

The role will require you work within a dedicated team of Market Risk subject matter and change specialists responsible for the **design and delivery of integrated risk management infrastructure**.

This is a strategic programme of the highest priority for our client.

As such you will deal with a number of senior stakeholders across the **Front Office, Technology, Finance and Risk functions** and be required to undertake complex analysis, document both business and functional requirements to drive optimal solution design.

The successful individual will have deep **understanding of all aspects of Market Risk including VaR methodologies, data requirements (inc sensitivities), processes and market risk reporting requirements banks and investment firms**.

You will come from Market Risk Management background and have excellent understanding of front office processes and relationships, be highly credible with Sales and Trading Management and possess a deep understanding of all assets classes, pricing and P&L attribution.

### Other attributes / qualification we look for are

- Post graduate in a Quantitative subject and or CFA qualified
- Solid Business analysis and evidence based solutions
- Consultancy grade documentation skills
- FSA prudential measurement & reporting requirements

This is an excellent opportunity to **join one of the industry's most prestigious Hedge Funds** and work within a team of exceptional consultants.

Our clients include the world's leading Investment Banks, Insurers and Hedge Funds with whom we work we work to deliver critical programmes and strategic change agendas.

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### Job Description 109:

#### **Risk Analytics Sales-Hedge Funds - New York**

Location: New York City, NY

Position Type: Permanent

Employment type: Full time

A New York Based Financial Services Firm that provides **Risk Analytics and Risk Reporting to Hedge Funds** is looking for an experienced **Financial Risk Systems Salesperson** to lead engagements with Hedge Funds and Fund of Funds managers.

Successful candidates will have:

- 1.at least 7 years of experience in financial services sales,

2. Strong understanding of market risk analysis [factor and market based exposure analysis, scenario analysis, VaR and stress testing across all asset classes],

3. strong knowledge of financial products including equity, fixed income, FX, and derivatives.

Candidates must be able to lead client presentations.

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### **Job Description 110:**

#### **Junior Hedge Fund Operational Due Diligence Analyst**

Type: Full-time

Experience: Associate

Industries: Investment Management

#### **Job Description**

Boutique hedge fund advisor and fund of fund operator is seeking a Boston based junior hedge fund analyst.

Activities will focus on operational due diligence for multiple hedge fund strategies and related third party service providers.

Ongoing monitoring of operational systems and controls will be required, potential onsite visits, human resources, money transfer processes, net asset valuation processes policies and oversight, prime brokers, compliance and legal systems, and more.

Ideal candidates will have a background in finance or direct hedge fund experience.

Must show undergraduate degree in an appropriate field, 1-3 years in the workforce in a relevant role, proven ability to establish and maintain productive relationship with prime brokers, banks and other service providers.

More details to be provided for appropriate candidates. Competitive salary and compensation package.

## **Skills**

Attention to detail, tech savvy with all Microsoft products, potential use of Bloomberg, ability to learn new software packages.

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## **Job Description 111:**

### **Hedge Fund Liquid Operations Manager**

**Location:** UK-London

**Position Type:** Permanent

**Employment type:** Full time

**An excellent opportunity to join one of the leading US and European Hedge Funds.**

The role is reporting directly to the Head of Accounting and Operations and will offer unrivalled exposure across the business.

### **The Opportunity:**

Participate in an energetic, fast-paced work environment that rewards independent thinking, strong business judgment and the ability to bring tasks to completion in a timely manner.

Liaise and work closely with:

- Investment and operations professionals based in London;
- Director of Trading Operations based in US
- Brokers and Agents located across Europe, including Germany, UK and France; and

- Legal counsel, tax advisors and corporate administrators for firm and related Investment SPV's.

Play an integral role in the continued growth of the European business.

Reports to the Head of Accounting and Operations in London.

### Summary of Responsibilities

- Liaise with internal and external parties to **coordinate closings for investments in corporate bank debt and other transactions.**
- **Manage and monitor counterparty relationships** and related closing process for leverage loan investments in the secondary market.
- Coordinate with internal accounting and external advisors for all relevant tax and accounting matters relating to the portfolios booked in investment SPV's as appropriate.
- Liaise with US Operations and Accounting team and manage the relationship with corporate administrators of investment SPV's.
- Oversee cash reporting related to liquid investments and coordinate with Treasury the money transfer process.
- Support the corporate investment team with portfolio management matters including debt-to-equity swaps, restructurings and other credit events.
- **Compile reports and analysis as requested for investment presentations internally and to the Board of Directors of Investment SPV's.**
- Assist with the pricing of the liquid portfolio in accordance with required accounting and regulatory guidelines.
- Perform additional responsibilities and special projects as assigned.

### Qualifications:

- A minimum of six years work experience in operations or product control in the financial services industry.



- Undergraduate degree in accounting or related business field. Advanced degree a plus.
  - In-depth understanding of European corporate distressed debt market beneficial.
  - Strong organizational, communication, and time management skills.
  - Experienced and confident communicator (both oral and written).
  - Strong business controls orientation.
  - Excellent computer skills using spreadsheet software.
  - Personal characteristics of self-confidence, resourcefulness, self-motivation, discipline, ability to assume responsibility for decisions and the ability to deal effectively with people in a variety of relationships and situations.
  - Ability to manage multiple projects under time pressure.
  - Very good team player.
  - Willingness and ability to travel (15% - within Europe) including a 1-month training period in our US office.
  - Cross border experience, experience with multiple currency environments and/or foreign language skills is a plus.
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## 7. Members of the Board of Directors

### Job Description 112:

#### Member of the Risk Committee of the Board of Directors

##### Position Information

The Board of Directors is an essential part of any organization.

We are looking for a Board Member with **strong risk management background**.

To be a partner with the Chief Executive in achieving the organization's mission.

To provide leadership to the Board of Directors, who sets policy and to whom the Chief Executive is accountable.

To help guide and mediate Board actions with respect to risk management and corporate governance.

To discuss with the risk and compliance officers, and challenge the risk management system of the organization.

To Perform other responsibilities assigned by the Board.

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## Job Description 113:

### **Non-Profit Board of Directors**

Location: CA

Company: Non-Profit

### **Job Description**

The organization offers its board the opportunity for personal, professional, and leadership advancement and achievement.

We're a young organization focused on learning, growth and creativity and believe success is all about the people and the relationships.

Board members are listened to closely and play a critical role in shaping the organization.

### **Responsibilities**

The primary responsibilities of the Board of Directors are to **provide leadership and sustainability at the highest levels of the organization.**

Board members are expected to **represent the organization in the community and to give and raise money.**

Examples of specific requirements Include:

- ☐ Participate in quarterly meetings;
- ☐ Provide insight and specific expertise on major organizational decisions;
- ☐ Review and approve budgets to ensure financial solvency;
- ☐ Attend networking events and represent the organization in local community;
- ☐ Meet minimum fundraising commitment of \$5000 per year
- ☐ Assist with special program projects

Comments on legal responsibilities: We're a fiscally sponsored project of the Study Center, which maintains legal liability for strive for.

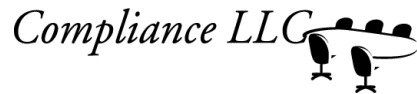
This includes ensuring that we are adhering to applicable federal, state and local laws in governance with our program.

### **Qualifications:**

The organization seeks to develop a board that represents the diversity of the community we serve.

Therefore, rather than looking for specific qualifications, we're looking for individuals with a wide variety of experiences and backgrounds who are excited to drive positive change and are entrepreneurial at heart.

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