

## Charles Schwab & Co., Inc.

### Our Opportunity:

The 1<sup>st</sup> Line of Defense (LOD) risk team is responsible for monitoring and evaluating the effectiveness of internal controls established to mitigate identified risks. These individuals exhibit a deep understanding of the LOB including applicable systems, tools, policies and procedures and are adept at identifying procedural gaps and deficiencies. Risk Analysts will evaluate the design adequacy of the internal control in addition to the operating effectiveness. Qualified persons should be experienced in risk mitigation, policy execution and relationship management.

### What you'll get:

- Comprehensive Compensation and Benefits package
- Financial Health: 401k Match, Employee Stock Purchase Plan, Employee Discounts, Personalized advice, Brokerage discounts
- Work/Life Balance: Sabbatical, Paid Parental Leave, New Mothers returning to work Program, Tuition Reimbursement Programs, Time off to volunteer, Employee Matching Gifts Program
- Everyday Wellness: Health and Lifestyle Wellness Rewards, Onsite Fitness Classes, Healthy Food Choices, Wellness Champions
- Inclusion: Employee Resource Groups, Commitment to diversity, Strategic partnerships
- Not just a job, but a career, with an opportunity to do the best work of your life

### Learn more about Life@Schwab.

### Risk Analyst, First Line Control Testing: 1231-45577

Position Located In: TX - Austin, IL - Chicago, AZ - Phoenix, CO - Lone Tree, TX - Westlake, IN - Indianapolis

Military Spouses – MSEP - tracking: [http://www.schw.jobs/tp/rj6\\_2B5Vk\\_e.K](http://www.schw.jobs/tp/rj6_2B5Vk_e.K)

### What you'll do:

- Participate in the design and successful execution of internal control examinations and provide strategic and proactive consultation in identifying risk exposures and developing solutions for weaknesses and regulatory compliance issues
- Understand scope of examination and prioritize examination activities to adhere to testing schedule and complete evaluation according to planned timelines and standards set by Corporate and Regulatory standards
- Evaluate the effectiveness of controls in place to mitigate identified risk; review evidence, document testing results in a comprehensive and organized manner; develop recommendations to correct deficiencies and provide ideas for process improvements
- For issues identified where controls can be enhanced to ensure compliance with firm or regulatory requirements, support business partners and senior leadership by monitoring action plans to ensure root cause of control deficiencies are resolved in a timely manner
- Maintain a strong working knowledge of federal and/or state fiduciary compliance regulatory requirements applicable to the assigned areas of the review

This is a summary only and duties and responsibilities may be changed from time to time, or over time.

### Required Competencies:

- Bachelor's degree; preferably in Accounting, Finance, Business Administration; equivalent work experience can be considered in lieu of education
- Three or more years of related work experience in audit, supervision, risk management or compliance
- Strong Microsoft Office knowledge; preferably advanced Microsoft PowerPoint and Excel skills and familiarity with SharePoint and Tableau
- Demonstrated written and oral communication skills and ability to communicate with all levels of management
- Ability to build strong relationships and work cross functionally with internal and external constituents
- Strong analytical skills with the ability to identify, research and weigh risk and control issues
- Ability to work cooperatively and effectively with supporting team members to meet departmental goals
- Strong time management, organization and prioritization skills; ability to complete multiple concurrent tasks within close deadlines with a high degree of accuracy and detail
- Exercise sound judgment to influence a strong risk management culture across business practices

- Self-motivated along with the ability to bring projects and reporting to conclusion

#### **Preferred Competencies:**

- Series 7, 9/10 or 24 (active registration)
- Advanced degree such as MBA, professional designation such as CPA and/or prior Big 4 public accounting experience
- Three or more years of financial service experience with strong understanding of FINRA and SEC rules including the Investment Advisors Act and securities industry practices

### **Sr. Risk Analyst, First Line Control Testing - Chicago IL: 1231-45576**

Position Located In: TX - Austin, IL - Chicago, AZ - Phoenix, CO - Lone Tree, TX - Westlake

Military Spouses – MSEP - tracking: [http://www.schw.jobs/tp/rj6\\_j7KHg\\_e.K](http://www.schw.jobs/tp/rj6_j7KHg_e.K)

#### **What you'll do:**

- Participate in the design and successful execution of internal control examinations and provide strategic and proactive consultation in identifying risk exposures and developing solutions for weaknesses and regulatory compliance issues
- Evaluate the effectiveness of controls in place to mitigate identified risk; review evidence, document testing results in a comprehensive and organized manner; Develop recommendations to correct deficiencies and provide ideas for process improvements
- Operate as a team leader in the execution of control reviews by supporting senior leadership with conducting quality review of work papers, reporting and other testing documentation of peers
- For issues identified where controls can be enhanced to ensure compliance with firm or regulatory requirements, support business partners and senior leadership by monitoring action plans to ensure root cause of control deficiencies are resolved in a timely manner
- Participate in risk and control related special projects
- Understand scope of examination and prioritize examination activities to adhere to testing schedule and complete evaluation according to planned timelines and standards set by Corporate and Regulatory standards
- Maintain a strong working knowledge of federal and/or state fiduciary compliance regulatory requirements applicable to the assigned areas of the review

This is a summary only and duties and responsibilities may be changed from time to time, or over time.

#### **Required Competencies:**

- Bachelor's degree; preferably in Accounting, Finance or Business Administration; equivalent work experience can be considered in lieu of education.
- Five or more years of related work experience in audit, supervision, risk management or compliance
- Three or more years' experience as a people manager or team lead
- Strong Microsoft Office knowledge; preferably advanced Microsoft PowerPoint and Excel skills and familiarity with SharePoint and Tableau
- Demonstrated written and oral communication skills and ability to communicate with all levels of management
- Ability to build strong relationships and work cross functionally with internal and external constituents
- Strong analytical skills with the ability to identify, research and weigh risk and control issues
- Ability to work cooperatively and effectively with supporting team members to meet departmental goals
- Strong time management, organization and prioritization skills; ability to complete multiple concurrent tasks within close deadlines with a high degree of accuracy and detail
- Exercise sound judgment to influence a strong risk management culture across business practices
- Self-motivated along with the ability to bring projects and reporting to conclusion

#### **Preferred Competencies:**

- Series 7, 9/10 or 24 (active registration)
- Advanced degree such as MBA, professional designation such as CPA and/or prior Big 4 public accounting experience
- Three or more years of financial service experience with strong understanding of FINRA and SEC rules including the Investment Advisors Act and securities industry practices

## **Sr. Team Manager, First Line Control Testing: 0104-45647**

TX - Austin, IL - Chicago, CO - Lone Tree, CA - San Francisco, TX - Westlake

Military Spouses – MSEP - tracking: [http://www.schw.jobs/tp/rj6-BuObq.e\\_K](http://www.schw.jobs/tp/rj6-BuObq.e_K)

### **What you'll do:**

- Direct and supervise the design and successful execution of Financial Control examinations and provide strategic and proactive consultation in identifying risk exposures and developing solutions for internal control weaknesses and regulatory compliance issues
- Determine scope of examination, prioritization of activities and create testing schedule to complete evaluation according to planned timelines and standards set by Corporate and Regulatory standards
- Provide final approval for work papers, testing results, and validation of all corrective actions, ensuring reports are issued in a timely manner
- Develop and disseminate metrics reporting for senior leadership providing status updates and testing results
- Continually evaluate the need for enhancements to the Testing Program and partner across other 2nd & 3rd Line of Defense testing/audit groups to coordinate efforts where possible
- Train and onboard new members and working to continually improve and evolve process
- Maintain a strong working knowledge of federal and/or state fiduciary compliance regulatory requirements applicable to the assigned areas of the review
- For issues identified where controls can be enhanced to ensure compliance with firm or regulatory requirements, prepare written observations which can be incorporated into the final report identifying control gaps and supporting business leaders in control deficiency remediation activities and ensure timely completion
- Resolve escalated issues by testing members within and across varying LOB

This is a summary only and duties and responsibilities may be changed from time to time, or over time.

### **Required Competencies:**

- Bachelor's degree; preferably in Accounting, Finance or Business Administration; equivalent work experience can be considered in lieu of education.
- Eight or more years of related work experience in audit, supervision, risk management or compliance
- Working knowledge of identifying risk, developing controls and loss prevention preferably in a financial services or banking environment
- Five or more years of people management experience
- Strong Microsoft Office knowledge; preferably advanced Microsoft PowerPoint and Excel skills and familiarity with SharePoint and Tableau
- Demonstrated written and oral communication skills and ability to communicate with all levels of management
- Ability to build strong relationships and work cross functionally with internal and external constituents
- Strong analytical skills with the ability to identify, research and weigh risk and control issues
- Ability to work cooperatively and effectively with supporting team members to meet departmental goals
- Strong time management, organization and prioritization skills; ability to complete multiple concurrent tasks within close deadlines with a high degree of accuracy and detail
- Exercise sound judgment to influence a strong risk management culture across business practices
- Self-motivated along with the ability to bring projects and reporting to conclusion

### **Preferred Competencies:**

- Series 7, 9/10 or 24 (active registration)
- Advanced degree such as MBA, professional designation such as CPA and/or prior Big 4 public accounting experience
- Five or more years of financial service experience with strong understanding of FINRA and SEC rules including the Investment Advisors Act and securities industry practices

## **Financial Risk Analyst, First Line Control Testing: 0104-45651**

IL - Chicago, AZ - Phoenix, FL - Orlando, CO - Lone Tree, TX - Westlake

Military Spouses – MSEP - tracking: [http://www.schw.jobs/tp/rj6\\_A9PMz-e.K](http://www.schw.jobs/tp/rj6_A9PMz-e.K)

### **What you'll do:**

- Participate in the design and successful execution of Financial Control examinations and provide strategic and proactive consultation in identifying risk exposures and developing solutions for internal control weaknesses and regulatory compliance issues
- Ability to understand and translate SOC-1, SOC-2, SOX and other Financial Risk and Control frameworks to coordinate internal control examination processes with varying risk partners
- Understand scope of examination and prioritize examination activities to adhere to testing schedule and complete evaluation according to planned timelines and standards set by Corporate and Regulatory standards
- Evaluate the effectiveness of financial controls in place to mitigate identified risk; review evidence, document testing results in a comprehensive and organized manner; Develop recommendations to correct deficiencies and provide ideas for process improvements
- For issues identified where controls can be enhanced to ensure compliance with firm or regulatory requirements, support business partners and senior leadership by monitoring action plans to ensure root cause of control deficiencies are resolved in a timely manner
- Maintain a strong working knowledge of federal and/or state fiduciary compliance regulatory requirements applicable to the assigned areas of the review

This is a summary only and duties and responsibilities may be changed from time to time, or over time.

### **Required Competencies:**

- Bachelor's degree required: preferably in Accounting, Finance, Business Administration
- Three or more years of related work experience in a Financial or Accounting Control Audit, Financial Forecasting and Budgeting, Accounting, Tax, Treasury or Compliance role
- Strong Microsoft Office knowledge; preferably advanced Microsoft PowerPoint and Excel skills and familiarity with SharePoint and Tableau
- Demonstrated written and oral communication skills and ability to communicate with all levels of management
- Ability to build strong relationships and work cross functionally with internal and external constituents
- Strong analytical skills with the ability to identify, research and weigh risk and control issues
- Ability to work cooperatively and effectively with supporting team members to meet departmental goals
- Strong time management, organization and prioritization skills; ability to complete multiple concurrent tasks within close deadlines with a high degree of accuracy and detail
- Exercise sound judgment to influence a strong risk management culture across business practices
- Self-motivated along with the ability to bring projects and reporting to conclusion

### **Preferred Competencies:**

- Series 7, 9/10 or 24 (active registration)
- Advanced degree such as MBA, professional designation such as CPA CIA, CFSA, CFA or other applicable financial services and/or risk management certifications a plus; Big 4 public accounting experience
- Three or more years of financial service experience with strong understanding of FINRA and SEC rules including the Investment Advisors Act and securities industry practice

## **Sr. Financial Risk Analyst, First Line Control Testing : 0104-45650**

IL - Chicago, AZ - Phoenix, FL - Orlando, CO - Lone Tree, TX - Westlake

Military Spouses – MSEP - tracking: [http://www.schw.jobs/tp/rj6\\_YeG0a-e\\_K](http://www.schw.jobs/tp/rj6_YeG0a-e_K)

### **What you'll do:**

- Participate in the design and successful execution of Financial Control examinations and provide strategic and proactive consultation in identifying risk exposures and developing solutions for internal control weaknesses and regulatory compliance issues
- Ability to understand and translate SOC-1, SOC-2, SOX and other Financial Risk and Control frameworks to coordinate internal control examination processes with varying risk partners
- Evaluate the effectiveness of financial controls in place to mitigate identified risk; review evidence, document testing results in a comprehensive and organized manner; Develop recommendations to correct deficiencies and provide ideas for process improvements
- Operate as a team leader in the execution of Financial Control reviews by supporting senior leadership with conducting quality review of work papers, reporting and other testing documentation of peers
- For issues identified where controls can be enhanced to ensure compliance with firm or regulatory requirements, support business partners and senior leadership by monitoring action plans to ensure root cause of control deficiencies are resolved in a timely manner
- Participate in financial risk- and control-related special projects
- Understand scope of examination and prioritize examination activities to adhere to testing schedule and complete evaluation according to planned timelines and standards set by Corporate and Regulatory standards
- Maintain a strong working knowledge of federal and/or state fiduciary compliance regulatory requirements applicable to the assigned areas of the review

This is a summary only and duties and responsibilities may be changed from time to time, or over time.

### **Required Competencies:**

- Bachelor's degree required; preferably in Accounting, Finance or Business Administration
- Five or more years of related work experience in Financial or Accounting Control Audit, Financial Forecasting and Budgeting, Accounting, Tax, Treasury or Compliance role
- Three or more years' experience as a people manager or team lead
- Strong Microsoft Office knowledge; preferably advanced Microsoft PowerPoint and Excel skills and familiarity with SharePoint and Tableau
- Demonstrated written and oral communication skills and ability to communicate with all levels of management
- Ability to build strong relationships and work cross functionally with internal and external constituents
- Strong analytical skills with the ability to identify, research and weigh risk and control issues
- Ability to work cooperatively and effectively with supporting team members to meet departmental goals
- Strong time management, organization and prioritization skills; ability to complete multiple concurrent tasks within close deadlines with a high degree of accuracy and detail
- Exercise sound judgment to influence a strong risk management culture across business practices
- Self-motivated along with the ability to bring projects and reporting to conclusion

### **Preferred Competencies:**

- Series 7, 9/10 or 24 (active registration)
- Advanced degree such as MBA, professional designation such as CPA CPA, CIA, CFSA, CFA or other applicable financial services and/or risk management certifications a plus; Big 4 public accounting experience
- Three or more years of financial service experience with strong understanding of FINRA and SEC rules including the Investment Advisors Act and securities industry practices



## **Sr Team Manager, Financial Risk, First Line Control Testing : 0104-45649**

IL - Chicago, AZ - Phoenix, FL - Orlando, CO - Lone Tree, TX - Westlake

Military Spouses – MSEP - tracking: <http://www.schw.jobs/tp/rj6.OHbNk-e.K>

### **What you'll do:**

- Direct and supervise the design and successful execution of Financial Control examinations and provide strategic and proactive consultation in identifying risk exposures and developing solutions for internal control weaknesses and regulatory compliance issues
- Ability to understand and translate SOC-1, SOC-2, SOX and other Financial Risk and Control frameworks to coordinate internal control examination processes with varying risk partners
- Determine scope of examination, prioritization of activities and create testing schedule to complete evaluation according to planned timelines and standards set by Corporate and Regulatory standards
- Provide final approval for work papers, testing results, and validation of all corrective actions, ensuring reports are issued in a timely manner
- Develop and disseminate metrics reporting for senior leadership providing status updates and testing results
- Continually evaluate the need for enhancements to the Testing Program and partner across other 2nd & 3rd Line of Defense testing/audit groups to coordinate efforts where possible
- Train and onboard new members and working to continually improve and evolve process
- Maintain a strong working knowledge of federal and/or state fiduciary compliance regulatory requirements applicable to the assigned areas of responsibility
- For issues identified where controls can be enhanced to ensure compliance with firm or regulatory requirements, prepare written observations which can be incorporated into the final report identifying control gaps and supporting business leaders in control deficiency remediation activities and ensure timely completion
- Resolve escalated issues by testing members within and across varying LOB

This is a summary only and duties and responsibilities may be changed from time to time, or over time.

### **Required Competencies:**

- Bachelor's degree required; preferably in Accounting, Finance or Business Administration
- Eight or more years of related work experience in Financial or Accounting Control Audit, Financial Forecasting and Budgeting, Accounting, Tax, Treasury or Compliance role
- Five or more years of people management experience
- Strong Microsoft Office knowledge; preferably advanced Microsoft PowerPoint and Excel skills and familiarity with SharePoint and Tableau
- Demonstrated written and oral communication skills and ability to communicate with all levels of management
- Ability to build strong relationships and work cross functionally with internal and external constituents
- Strong analytical skills with the ability to identify, research and weigh risk and control issues
- Ability to work cooperatively and effectively with supporting team members to meet departmental goals
- Strong time management, organization and prioritization skills; ability to complete multiple concurrent tasks within close deadlines with a high degree of accuracy and detail
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- Five or more years of financial service experience with strong understanding of FINRA and SEC rules including the Investment Advisors Act and securities industry practices

Charles Schwab & Co., Inc. is an equal opportunity and affirmative action employer committed to diversifying its workforce. It is Schwab's policy to provide equal employment opportunities to all employees and applicants without regard to race, color, religion, sex (including pregnancy, childbirth, breastfeeding, or related medical conditions), gender identity or expression, national origin, ancestry, age, disability, legally protected medical condition, genetic information, marital status, sexual orientation, protected veteran status, military status, citizenship status or any other status that is protected by law. Schwab also does not discriminate against applicants or employees because they have inquired about, discussed, or disclosed their own pay or the pay of another employee or applicant. At Schwab, we believe that every employee, through their diverse abilities and experiences, can contribute to our growth, innovation and client loyalty. We embrace diversity and are committed to providing equal opportunity to all employees and applicants. If you have a disability, and require reasonable accommodations in the application process, call Human Resources at 800-725-3535. We will be happy to assist you. Schwab will only share your accommodation request with those individuals who have a specific need to know. The request for an accommodation will not affect Schwab's hiring decisions. All other submissions should be performed online.