



Anthony Hessel

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EXPERIENCE

05/2015 – present

SENIOR OPERATIONAL RISK CONTROLLER

Los Angeles, CA

- Performance of key controls on Portfolio Managers and Distributors appointed by the management company
- Ensure integrity of Pune Process Performance Monitoring Report by analyzing outcomes reported by LECS within GLAO/SOX/Regulatory Reporting Framework program
- Reporting and/or escalation of the exceptions identified to the funds or management companies' board of directors
- Preparation of reports for the funds or management company' board meetings
- Co-ordinate timely and accurate completion of the monthly Key Performance Indicators (KPI) reporting
- Operational risk monitoring with associated control indicators
- Maintenance of a constructive working relationship with the funds' central administrator, custodian bank, portfolio managers and distributors through regular communication

12/2008 – 12/2014

OPERATIONAL RISK CONTROLLER EQUITIES

Houston, TX

- Support the development and execution of the ORC strategy for the assigned portfolio
- Proactively drive the identification, assessment, measurement, mitigation and monitoring of operational risk in the assigned portfolio
- Stay abreast of industry news and regulatory developments pertinent to the assigned portfolio to facilitate a more proactive approach to risk identification and mitigation
- Lead root cause analyses on internal operational risk events and benchmarking analyses on events that occurred in the industry
- Help promote and instil a culture of Operational Risk Management and operational excellence across the assigned portfolio
- Partner with stakeholders in the business and logistics functions to continually improve our operational risk control processes and business operating models; support business growth; and make informed cost/benefit decisions
- Review and approve new business initiatives and offshoring / outsourcing activities

08/2005 – 09/2008

OPERATIONAL RISK CONTROLLER

Dallas, TX

- Provide expert guidance on the development of relevant policies and control documentation
- Develop and execute the ORC strategy for assigned portfolio
- Assist global colleagues in execution of various streams of operational risk related work (RCSA, SOX, InfoSec, BCP)
- Develop and execute the ORC strategy for the assigned portfolio
- Develop and execute the ORC strategy for the assigned portfolios and functions
- Strong team building, relationship management, and project management
- Develop and execute the ORC strategy for the assigned IB business sector portfolio

EDUCATION

HARVARD UNIVERSITY

Bachelor's Degree in Business

SKILLS

- Excellent organizational skills and the ability to work to deadlines
- Excellent organisational skills and the ability to work to and manage a team to deadlines, experienced in a line role managing direct reports
- Excellent written and verbal communication skills, and ability to deal with colleagues/clients of all levels
- Strong appreciation of operational risk concepts, with experience in an internal audit or operational risk type role
- Analytical skills with a control focus and high regard for attention to detail
- A sound background in control evaluation/ operational risk control and have strong communication/ report writing skills
- Technical expertise in treasury and asset/ liability management
- Strong MS office skills
- Deliver independent risk assessment and reports that shed light on our risk profile
- Strong client and partner relationship abilities

