

## Specialist, Business Controls

Location: Montreal

Jarislowsky Fraser is one of Canada's leading investment firms. We manage the portfolios of pension funds, foundations, corporations and individuals in Canada, the United States and internationally — representing more than \$39 billion in assets under management. Headquartered in Montreal, we have offices in Toronto, Calgary, Vancouver and New York.

We are presently seeking a **Specialist, Business Controls** to join our team in Montreal.

### Tasks:

- Help with supporting documentation for preparation of GIPS audit and firm audit
- Set up retail and institutional accounts on Advent
- Code high net worth IPS asset mix ranges
- Close accounts on APX and coordinate with Finance for billing.
- Review of all New NBIN client paperwork and identifying required missing data and approve paperwork to be loaded onto iMost;
- Help review and edit of account opening documents and translation if needed.
- Compile and report commission data;
- Help with revamping of policies and procedures (separate by function (compliance, operations, finance,...)) and translation if needed

Help the team with AML and Operational Risk projects.

**AML** project tasks include:

- Develop Procedures & Best Practices (should come from Audit)
- Document and Communicate
- Document accountabilities in place for AML
- Conduct name screening (on a regular basis)
- Conduct risk rating for all JFL clients and establish associated processes
- Establish systems to capture data elements (short term with systems team)
- Update all Client KYC forms capture AML data elements required as per BNS AML Policy
- Refer to data elements review file for details

**Operational Risk** project tasks include:

- New Initiative Risk Assessment (NIRA)
  - Provide feedback for all JFL NIRA's
  - Provide a list of all new initiatives and products launched and will launch in the future
- Operational Loss Reporting
  - Report operational losses
  - Gather sources of KRI data to ensure they are reportable
- Risk and Control Self-Assessment (RCSA)
- Key Risk Indicators (KRIs)
  - Supply and report KRI information
  - Gather sources of KRI data to ensure they are reportable

- Volcker
  - Sign DOPs , own inventory controls and provide updates
- Sales Practices
  - Complete Sales Practices gap assessment
  - Based on assessment, JF to complete Action Plans, if required
- Enterprise Regulatory Compliance Management (eRCM)
  - Document and update controls

**Competencies:**

- Undergraduate or college degree
- 3+ years of solid experience in a similar job position
- Knowledge of FATCA, CRS, AML and other compliance experience
- Investment industry experience preferred (Brokerage, Investment or Trust Company)
- Meticulous attention to detail
- Excellent communication skills, both written and verbal, ideally in French and in English
- Bilingualism is considered an asset
- Good knowledge of MS Excel and Microsoft suite in general

We welcome all applications and wish to thank all applicants for their interest in applying for this position. However, only candidates selected for interviews will be contacted.

We are an Equal Opportunity Employer

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