
Specialist, Business Controls

Jarislowsky, Fraser Limited is an investment management firm with over 60 years of experience conducting fundamental research and managing assets for pension funds, foundations and endowments, corporations and individuals in Canada and internationally — representing more than CA\$56 billion in assets under management. Our history and culture are rooted in investment stewardship that is expressed through an adherence to quality investing consistent with our long-standing investment philosophy and the advancement of good governance and sustainable investing. Acting in the best interests of our clients is the cornerstone of everything we do. Headquartered in Montreal, we have offices in Toronto, Calgary, Vancouver and New York.

Location Montreal or Toronto

Purpose

Contributes to the overall success of the Business Controls Department ensuring specific individual goals, plans, initiatives are executed / delivered in support of the team's business strategies and objectives. Ensures all activities conducted are in compliance with governing regulations, internal policies and procedures.

Key Responsibilities

- Champions a customer focused culture to deepen client relationships and leverage broader the firm's relationships, systems and knowledge.
- 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)
 - Volcker
 - Sales Practices

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- Enterprise Regulatory Compliance Management (eRCM)
- Actively pursues effective and efficient operations of his/her respective areas in accordance with Scotiabank's Values, its Code of Conduct and the Global Sales Principles, while ensuring the adequacy, adherence to and effectiveness of day-to-day business controls to meet obligations with respect to operational, compliance, AML/ATF/sanctions and conduct risk.
- Champions a high performance environment and contributes to an inclusive work environment

Qualifications

- High-level of attention to detail and accuracy.
- Willingness to learn and adapt to change.
- Reliable, with a good sense of judgment.
- Excellent communication skills, both written and verbal.

Reporting Relationships

Primary Manager:	<ul style="list-style-type: none">• Director of Operations
Direct Reports:	<ul style="list-style-type: none">• Nil
Shared Reports	<ul style="list-style-type: none">• Nil

Dimensions

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| <ul style="list-style-type: none">• Provide service for all locations• Two major projects : AML and Operational Risk |
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Education / Experience / Other Information

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| <ul style="list-style-type: none">• Bachelor in Business or Economics or another related field• 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)• Bilingualism is considered a requirement• Good knowledge of MS Excel and Microsoft suite in general |
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Working Conditions

- Work in a standard office-based environment.
- Limited travel required for this position.

We welcome all applications and wish to thank all candidates for their interest in applying for this position. However, only individuals selected for interviews will be contacted. Please send your CV and cover letter to

kcarriere@jflglobal.com

