

AGF INVESTMENTS INC.

JOB TITLE: Manager, Regulatory Initiatives
DEPARTMENT: Operations
LOCATION: Toronto

DESCRIPTION

Reporting to the Director, Regulatory and Retail Operations, the Manager, Regulatory Initiatives will contribute to the effective interpretation, implementation and management of policies and system changes involving regulatory initiatives impacting AGF, PFSL and/or the mutual fund industry. The Manager, Regulatory Initiatives will also provide guidance and support to AGFC, other AGF lines of business and PFSL pertaining to regulatory changes and existing legislative requirements.

Responsibilities

- Participate in the implementation of regulatory initiatives with AGFC, AGF internal departments and PFSL
- Recommend procedure and system changes relating to regulatory requirements based on federal/provincial budgets, regulatory notices and legislation changes
- Assist in the implementation of new products and system functionality (or changes / enhancements thereof), including analysis and documentation of requirements, review and approval of system specification documents, test plans, test cases and any outputs
- Research and analyze new product launches and changes as necessary to determine downstream operational and system impacts and ensure compliance from a regulatory perspective
- Assist Internal Audit in creating audit plans and conducting reviews to ensure compliance with provincial, federal and non-resident regulations. Identify any gaps and relative risk with respect to administrative processes. Document requirements for implementation of additional system and/or procedural controls in order to close any such gaps
- Work closely with the Marketing and Sales teams to support information and training needs as well as with the creation and/or review of marketing materials and advisor/investor communications for AGF and/or PFSL
- Participate in the drafting and review of agreements and correspondence with industry associations and regulatory authorities, as required. Assist with application and other form creation/updates, including submission to applicable regulators for approval
- Address regulatory and transfer agency related inquiries and ad hoc research/report requests (including submitting requirements, prioritization and validation) originating from internal lines of business including: Compliance, Retail Sales, Legal, Product, Investment Operations, Taxation, Finance, etc.; and external parties such as PFSL, auditors, industry associations, regulators, etc
- Conduct research and provide recommendations for resolving production issues and escalations with regulatory implications ensuring timely resolution and communication to impacted parties
- Provide status reporting to AGF and/or PFSL management as it relates to various projects and regulatory industry initiatives
- Monitor and stay abreast of relevant research relating to legal, regulatory, industry communications and changes
- Conduct analysis and industry surveys to maintain competitiveness of AGF's current plans and services and identify any opportunities
- Actively participate and provide research for AGF representation on various industry committees, input on draft legislation and lobbying efforts with regulatory authorities
- Review and validate both internally and externally produced outputs such as reports, statements, tax slips, fund fact sheets, prospectus and AIF filings, etc
- Other duties as assigned

Requirements

- Knowledge of regulatory programs and initiatives, such as FATCA, CRM2, OECD CRS, Unclaimed Property, etc
- Ability to translate regulatory changes into business and operational processes and document business requirements for system providers
- Communicate information in an effective manner to all stakeholders and tailor the correspondence based on the audience
- Represent AGF on IFIC or other committees



- Manage multiple projects and competing priorities
- College or University degree, preferable in Business Administration or Finance Knowledge of regulatory
- Minimum 5 years prior experience with regulatory project analysis and implementation
Business analyst experience an asset
- Strong business writing, communication and influencing skills
- Excellent organizational skills with strict attention to detail
- Ability to meet strict deadlines and heavy workload; ability to multi-task and prioritize effectively
- Project management skills in implementing various regulatory, tax, and legal changes
- Strong analytical skills and technical competency with Excel
- Strong research skills
- Ability to work independently and in teams

About AGF

Founded in 1957, AGF Management Limited is a premier Canadian-based investment management firm serving institutions and individuals around the globe.

As the core focus of the firm, AGF Investments offers industry-leading investment management services to Canadian and international investors through our advisor, institutional and private counsel businesses.

Our diversified family of mutual funds includes investment strategies that span the globe within balanced, fixed income, equity and specialty asset categories. AGF's expert investment management teams manage a diverse range of investment strategies with proven investment philosophies and unique, research-driven investment processes.

AGF offers a broad spectrum of strategies tailored specifically to the needs of institutional investors including pension plans, corporate plans, endowments and foundations, sovereign wealth funds and sub-advisory clients. Institutional clients benefit from the depth and breadth of an experienced team of multi-disciplined investment managers. Through sales and service offices strategically situated in Canada, the United States, Europe and Asia, AGF is able to provide investment and service excellence to a broad range of clients worldwide

To apply, please go to www.agf.com



What are you doing after work?