



## Position Description

**Position Title:** Risk and Controls Manager  
**Department:** Finance  
**Reports To (Functional Title):** Senior Vice President, Head of Finance  
**Date:** August 2019

### BASIC PURPOSE/FUNCTION:

The Risk and Controls Manager will support BSIG’s financial reporting requirements by ensuring the Company’s internal control environment is designed appropriately and operating effectively and will also support the Company’s overall risk management program by assisting with oversight of outsourced Internal Audit provider as well as participating in the enterprise risk management program. Candidates should have significant experience with Sarbanes Oxley (SOX) / COSO framework, knowledge of the asset management industry, and excellent communication and project management skills. Experience with SEC reporting requirements, PCAOB, and Internal Audit is a plus.

The Risk and Controls Manager will be responsible for support of BSIG’s SOX initiative, maintenance and enhancement of our financial controls environment and program. They will lead the co-ordination of internal testing and review test findings, facilitate the remediation of control gaps and escalate possible critical issues to the senior management of the Company. They will also be heavily involved in the relationship management of internal control collaboration with our Affiliates and the Company’s external auditors. They will be expected to identify areas of potential improvement for key processes and procedures and support management with the implementation of these improvements.

### PRIMARY DUTIES AND RESPONSIBILITIES:

	<u>% of Time</u>
1. Assist with all facets of the Sarbanes Oxley Program. Specifically: financial statement risk assessment, process documentation update coordination, issue resolution, and interfacing with all key stakeholders including BSIG senior management, external auditors, third party service providers, and Affiliate employees	45%
2. Assist with Internal Audit and Risk strategy by identifying risk areas across the Company and designing an overall risk framework to address those risks. Oversee outsourced Internal Audit provider.	30%
3. Ad-hoc projects to drive process improvement and efficiency, and support new initiatives or transactions including the implementation of new systems supporting the Control / Risk Framework	15%
4. Assist with reporting to Executive Management and Board of Directors	10%
	Total: 100%

**Position Title:** Risk and Controls Manager

**EDUCATIONAL REQUIREMENTS:**

- |   |   |
|---|---|
| <input type="checkbox"/> High School Diploma or GED             | <input checked="" type="checkbox"/> Master's Degree and/or CPA a plus |
| <input type="checkbox"/> Associate or Technical Degree          | <input type="checkbox"/> Doctorate: Degree                            |
| <input checked="" type="checkbox"/> Bachelor Degree: Accounting | <input type="checkbox"/> Certificate/License                          |

**PRIOR WORK EXPERIENCE REQUIRED:**

- |   |   |
|---|---|
| <input type="checkbox"/> Less than 1 Year | <input checked="" type="checkbox"/> 5 to 8 Years  |
| <input type="checkbox"/> 1 to 3 Years     | <input checked="" type="checkbox"/> 8 to 10 Years |
| <input type="checkbox"/> 3 to 5 Years     | <input type="checkbox"/> 10 Years or More         |

**NECESSARY SKILL SET:**

1. 8+ years of prior work experience, including strong Finance and Accounting experience in financial services (particularly Asset Management)
2. Significant experience with SOX controls projects
3. Strong communication skills to manage through complex issues with external auditors, Affiliate finance contacts, senior management team, etc.
4. Solid project management skills, and comfort with systems and database concepts
5. Desire to learn in a fast-paced, dynamic environment
6. Ability to work as part of a team and independently
7. SEC public company experience and Big Four or other top-tier consulting firm experience a plus
8. Experience with PCAOB and COSO 2013 Framework

The preceding Position Description has been designed to indicate the general nature and level of work performed by employees within this qualification. It is not designed to contain or be interpreted as a comprehensive inventory of all duties, responsibilities, and qualifications required of employees assigned to this position.

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