

**R. NICHOLAS SQUIRE**

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Summary of Qualifications:

- 1.5 years experience: Anti-Money Laundering Analyst at the Bank of Montreal in Toronto, Canada
- Knowledgeable of all AML/TF procedures as regulated by OSFI and reported through FINTRAC, the US Bank Secrecy Act and Patriot Act
- 2 years experience in Capital Markets confirmation/settlement roles
- 3.5 years experience in back-office/compliance banking positions

Experience:

**Confirmations Officer, Capital Markets**

December 2010 - Present

*Bank of Montreal/Royal Bank of Canada  
Toronto, Ontario*

Collaborating with front-office traders and external clients, responsible for ensuring capital market transactions are confirmed in an accurate and timely manner.

Working on multiple banking platforms, prepare financial documents, reconcile databases and perform ad hoc duties as required. Liaise with confirmations and settlements department, verifying trade details and updated system entries where required.

**Anti-Money Laundering Analyst**

October 2008-April 2010

*Bank of Montreal – AML Compliance Office  
Toronto, Ontario*

In an independent and time-sensitive environment, investigated complex system-filtered WatchList alerts, prepared alert summaries, and reported all exact matches as outlined in documented processes and protocols.

Trained and performed duties at the Investigator role – reviewing colleagues ‘potential match’ alerts to determine if further enhanced due diligence was required. Cross-trained in Transaction Monitoring, and worked closely with the High Risk Accounts department.

Completion of all AML/TF course training, current on AML/TF compliance regulations and procedures.

**Interest Rate Swaps/FX Verifications Officer**

July 2007-January 2008

*Toronto-Dominion Securities/ TD Bank*

*Toronto, Ontario*

Working with Money Market Traders, responsible for the verification of trade information input on the WallStreet, Calypso and Summit trading systems, ensuring trades were executed accurately.

Monitored trading activity and rectified cash-flow discrepancies in Excel, prepared documents and reports for clients in Word, performed ad hoc duties as required.

Identified trade discrepancies, worked alongside profit & loss analysts and risk management to ensure trading activity was authorized and accurate.

**Foreign Exchange Confirmations/Settlements Officer**

August 2005-August 2006

*Toronto-Dominion Securities/ TD Bank*

*Toronto, Ontario*

As part of a one year work term, confirmed and settled foreign exchange transactions between financial institutions.

Assisted in client setup while working with the AML and Treasury/Risk Departments.

Processed net settlements daily for all 41 eligible currencies on behalf of 40+ clients, incorporating 3 different transaction systems while creating and maintaining client lists that included static information and financial details.

Education:

**Honours Bachelor of Commerce Graduate**

September 2002-April 2007

*McMaster University – DeGroote School of Business*

*Hamilton, Ontario*