



Position Title **Vice-President, Legislative Compliance and Risk Management**

Location Toronto

Reporting To Chief Risk Officer and CCO

Position Overview The VP, Legislative Compliance and Risk Management is an essential resource for employees and other industry related professionals regarding industry rules and regulations and applicable legislative requirements that must be adhered to. The primary responsibilities of this role are to ensure that Richardson GMP is aware and ahead of legislative developments that impact the strategy and operations and that related controls including policies and procedures are up to date and reflect current practices.

- Duties and Responsibilities**
- Lead and develop a comprehensive legislative compliance and risk program and work with partners in business and support teams to track all new or updated regulatory and legislative developments to ensure that policies, procedures and controls are in place, up to date, and operationalized
 - With superior MI and reporting, track all applicable legislative and regulatory requirements and link them to key risks themes and key risk and performance indicators with applicable controls and testing
 - Specifically ensure all policy & procedures manuals, testing and review procedures for advisor compliance, branch and compliance operations are updated within prescribed time frames, that they reflect current practices, and comply with all applicable regulatory requirements
 - Develop a process to communicate new and amended internal policies and regulatory requirements, and incorporate these updates/amendments within the policy & procedure manuals
 - Work collaboratively with change teams to ensure that firm wide compliance initiatives are operationalized including new product and technology initiatives that impact or arise from regulatory requirements
 - Conduct or support training on policy and procedure on 'hot' topics, and on new/amended policies
 - Provide advisory support for legislative, regulatory and policy and procedural questions/clarifications
 - Ability to develop and conduct 30 and 90 day training programs
 - Participate in special projects as required

- Qualifications**
- Excellent written and oral communication and presentation skills
 - Advanced knowledge and understanding of the Canadian regulatory landscape and IIROC and CSA rules and legislation
 - A good understanding and preferred experience in enterprise risk management principles and practices
 - 5 years in a legal, enterprise risk or compliance role with an investment dealer or financial institution or 7 years related experience within the financial industry
 - Ability to educate, influence, negotiate and to work independently and within a larger team
 - Excellent skills in conceptual editing, copy editing, and proof reading
 - Strong understanding of front and back office operations
 - Service oriented with an ability to remain calm and professional under pressure

- Sound judgment and integrity
- Ability to think and act proactively
- Self-motivated and interested in ongoing learning and professional development
- Proficient with Microsoft Office Suite

Education

- Professional designation in securities law would be an asset
- Post-secondary degree
- The completion of the Canadian Securities Course (CSC), Conduct and Practices Handbook Course (CPH) or other applicable requirements