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| <b>Position Title</b>              | <b>Compliance Officer – Complaints &amp; Investigations</b>   |
| <b>Location</b>                    | Toronto   |
| <b>Reporting To</b>                | VP, Compliance  |
| <b>Position Overview</b>           | <p>Manage complaint files, investigations and regulatory requests and prepare correspondence as required. The individual must demonstrate excellent written and oral communication skills and possess expert problem solving and decision making abilities.</p>   |
| <b>Duties and Responsibilities</b> | <ul style="list-style-type: none"><li>• Research and respond to client complaints. This includes providing resolution of the complaint;</li><li>• Prepare correspondence to regulatory inquiries as required;</li><li>• Assist in preparing investigation files as required;</li><li>• Assist in gathering documentation for OBSI files;</li><li>• Liaise with Branch Management and branch office personnel regarding complaints, investigations and registration files;</li><li>• Monitor, track and report complaints, regulatory inquiries and investigations on internal systems, such as RADAR and external systems such as ComSet;</li><li>• Submit information on complaint and investigation files to Errors &amp; Omission Insurance company for coverage as required;</li><li>• Complete quarterly reports for trend analysis;</li><li>• Assist in special projects as required.</li></ul> |
| <b>Education</b>                   | <ul style="list-style-type: none"><li>• Canadian Securities Course required</li><li>• Conduct Practices &amp; Handbook (CPH) Course required</li><li>• Branch manager’s Course desired</li><li>• Bachelors Degree/College Diploma an asset</li></ul>  |
| <b>Qualifications</b>              | <ul style="list-style-type: none"><li>• Minimum of 3 years industry experience in either an investment dealer, mutual fund dealer or Self-Regulatory Organization</li><li>• Working knowledge of Dataphile systems an asset</li></ul>   |