



Position Title **Compliance Officer, Advisory & Surveillance**

Location Toronto

Reporting To Team Leader – Advisory & Surveillance

Job ID CPL - 015

Position Overview The Compliance Officer, Advisory & Surveillance is a resource for employees and other industry related professionals regarding industry regulations that must be adhered to within the firm. The primary responsibilities will be geared towards retail compliance including; daily and monthly trade/account surveillance, responding to queries of the Investment Advisors, Branches and other departments.

Duties and Responsibilities

- Conduct, monitor and document daily and monthly head office reviews of client account activity with a focus on criteria outlined in IIROC Policies and other regulatory/corporate guidelines
- Identify trends developing in trading of specific advisors and/or client accounts with an emphasis on suitability, concentration, potential conflicts of interest and unusual transactions, conducting detailed analysis and escalating concerns to the Team Leader where necessary
- Follow up on inquiries from daily and monthly reviews with Advisors and Branch Management
- Ensure that required actions arising from reviews are completed within reasonable timeframes and records are appropriately filed in the central location within the Compliance Department
- Functions as a key point of contact and resource on Surveillance related inquiries and requests from employees and Branches staff
- Monitor business conduct for risk resulting from regulatory non-compliance and recommend course of action
- Assist the AML team as needed relating to unusual and/or suspicious activity
- Continually evaluate the effectiveness of departmental procedures and participate in developing, maintaining and implementing changes to the policies and procedures
- Provide guidance and support to advisors and branch office staff regarding compliance policies and procedures, including effectively communicating requirements
- Conduct email surveillance
- Work on special projects as requested

Qualifications

- Previous industry experience with an IIROC Dealer Member is an asset, including ability to conduct suitability assessments
- Strong verbal and written communication skills
- Strong understanding of how the investment/securities industry functions and be able to apply that knowledge to RGMP internal processes
- Good understanding of regulatory requirements and industry rules across Canada
- Good understanding of trading practices, market structure, risk factors, and general characteristics associated with the various securities and investment strategies in order to perform day-to-day analysis
- Ability to use initiative and work with minimal supervision
- Excellent leadership skills and exercise good judgment on regulatory and supervisory issues

- Self-motivated and interested in ongoing learning and professional development (including attendance of regulatory or educational conferences and seminars)
- Working knowledge of MS Applications including Word, Excel, Access, and PowerPoint
- Strong computer and technology skills and familiarity with industry software would be an asset (including Dataphile, Portfolio Aid and Open-Source Ticket Request System (OTRS))

Education

- University degree or college diploma
- Completion of the Canadian Securities Course (CSC); Conduct and Practices Handbook (CPH)