



Position Title **Legal and Complaints Analyst**

Location Toronto

Reporting To Vice President, Compliance

Position Overview This role will provide operational support to the Legal & Risk Operations team, within the Risk & Compliance Department of Richardson GMP, which will include litigation support, satisfying regulatory and third party requests for information, and assistance to Compliance Officers responsible for investigations and client complaint-handling.

- Duties and Responsibilities**
- Process requests for information and documents from regulators, clients and third parties
 - Provide assistance to Compliance Officers in connection with client complaint-handling procedures, including to facilitate the preparation of portfolio analysis and collection of documents
 - Provide litigation support to Legal Counsel, including in respect of collection and review of documents
 - Monitor and maintain system of legal document holds for the team
 - Manage information and provide general administration support for insurance coverage details
 - Manage team metrics reporting and file management system
 - Monitor and track invoices for compliance with litigation management guidelines and internal requirements
 - Provide general administrative or other support, as required
 - Participate in special projects as required

- Education**
- Post-secondary degree
 - Canadian Securities Course (CSC)
 - Conduct & Practices Handbook (CPH)

- Qualifications**
- 1-2 years of experience in the financial industry
 - Good written and oral communication
 - Excellent organizational skills and proven ability to prioritize and multi-task
 - Ability to think and act proactively
 - Self-motivated and interested in ongoing learning and professional development
 - Strong technical aptitude, attention to detail and problem solving skills
 - Strong proficiency skills in Excel, Power Point, Word and Microsoft Outlook