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| Position Title | Legal Counsel |
| Location | Toronto |
| Reporting To | Vice President, Senior Legal Counsel, Legal & Risk Operations |
| Position Overview | The Legal Counsel will provide legal analysis, advice and direction to the firm, primarily supporting the IIROC-registered retail investment dealer's wealth management business, and related services. The Legal Counsel will manage litigation, and provide advice in connection with employment matters, client complaints, regulatory and internal investigations, and potential claims. |
| Duties and Responsibilities | <ul style="list-style-type: none">• Providing legal advice and working closely with compliance officers, in connection with client complaints and potential claims, investigations by the Ombudsman for Banking Services and Investments and regulators, requests for information and client privacy obligations• Directing legal actions and regulatory matters, including oversight of outside counsel, coordination of internal resources for the purposes of litigation support and document review, and administration of any applicable insurance coverage programs• Advising on and as assigned, assisting in the management and execution of internal investigations relating to potential non-compliance by individuals with regulatory and/or internal policy requirements• Providing advice and drafting documents and agreements as applicable, including in respect of employment matters, interpretation of restrictive covenants, succession planning amongst industry professionals, and compensation programs relevant to the wealth management industry• Providing advice and support to others in the firm, including compliance officers and other members of the Legal & Risk Operations team, as required |
| Education | <ul style="list-style-type: none">• Degree in law (LL.B. or JD)• Called to the bar of a Canadian jurisdiction, and qualified to practice law in Ontario• Canadian Securities Institute courses (e.g. Canadian Securities Course) an asset |
| Qualifications | <ul style="list-style-type: none">• 3-5 years post-call experience, in commercial or securities litigation or in-house at an investment dealer or financial institution• Knowledge and understanding of IIROC rules pertaining to duties and obligations of dealers and registrants in the retail wealth management industry (i.e. suitability, conflicts of interest, KYC, etc.), an asset• Experience in employment law, an asset• Proven negotiation and influencing skills• Excellent organizational skills• Excellent oral and written communication skills• Must be able to work independently and take carriage of files, and work with others in a team, as appropriate• Highly motivated with great interpersonal skills• Must be able to assess and balance work priorities and manage client expectations effectively in a fast-paced, dynamic environment |

