



<b>Position Title</b>	<b>Manager of Compliance, Audit</b>
<b>Location</b>	Toronto
<b>Reporting To</b>	Chief Compliance Officer, Director Compliance
<b>Position Overview</b>	<p>The full time position of Manager of Compliance, Audit is responsible for conducting business location audits as well as being the liaison for regulatory audits.</p>
<b>Duties and Responsibilities</b>	<ul style="list-style-type: none"><li>• Work with management to enhance current audit program</li><li>• Work with management to create an audit schedule with a focus on a risk based approach</li><li>• Conduct all branch audits including sub branch locations, which would be in rotation</li><li>• Proactively communicate and discuss findings with Branch Management to address issues in a timely manner</li><li>• Draft and complete audit report for distribution</li><li>• Conduct special audits for locations that require a focused review due to an increase in risk resulting from complaints, investigations, concerns with supervision, etc.</li><li>• Liaison with IIROC on branch and head office audits. Collecting and collating data, coordinating meetings, review of data, drafting audit response letter then coordinating remediation of audit findings</li><li>• Book reviews (spot audits) of Investment Advisors identified as higher risk; and</li><li>• Maintain complete audit files for record keeping purposes</li><li>• Other duties as assigned</li></ul>
<b>Qualifications</b>	<ul style="list-style-type: none"><li>• IIROC dealership compliance experience – minimum 7 years</li><li>• Undergraduate degree desired</li><li>• Industry courses required – CSC, CPH, BM supervision, option supervision, plus and other relevant courses</li><li>• Previous audit experience at an IIROC dealer or regulator – minimum 3 years</li><li>• Excellent English communication skills, written and verbal</li><li>• Must be proficient in Microsoft applications (Excel, Word and PowerPoint)</li><li>• Team player, customer focused, results oriented</li><li>• Proactive problem solver who can suggest potential solutions to identified issues</li><li>• Ability and willingness to travel, at times on short notice</li></ul>
<b>Education</b>	<ul style="list-style-type: none"><li>• University or College Degree/Diploma desired</li><li>• Canadian Securities Course (CSC)</li><li>• Conduct and Practices Course (CPH)</li><li>• Partner's, Officer's and Senior Officer's Course (PDO)</li><li>• Branch Manager's Supervision course desired</li><li>• Options Supervision Course desired</li></ul>