

Position Title **Senior Compliance Officer, Advisory & Surveillance (18-month contract)**

Location Toronto

Reporting To Team Lead – Advisory & Surveillance

Job ID CPL - 011

Position Overview The primary responsibilities of the Advisory and Surveillance Compliance Officer is to conduct trade surveillance and responding to queries to branch and head office staff.

Trade Surveillance

- Conduct and document daily and monthly head office reviews of client account activity as outlined in IIROC Policies and other regulatory/corporate guidelines
- 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
- Conduct oversight of daily & monthly reviews and employee accounts at other dealer members
- Functions as a key point of contact and resource on Surveillance related inquiries and requests from employees and branch staff
- 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 Manager of Surveillance where necessary

Duties and Responsibilities

Advisory

- Exercise due diligence in following RGMP procedures, policies and guidelines
- Review the on-boarding of offshore accounts including locating and coordinating the Agent to conduct the client identification verification Proceeds of Crime (Money Laundering) and Terrorist Financing Act (PCMLTFA)
- Review and approve third party certificate and medallion requests (e.g. issuances or deposits)
- 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
- Work on special projects as requested

Qualifications

- Minimum five years of experience in a compliance role, preferably with an IIROC or similar background (e.g. Investment dealer)
- 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)

Computer Skills

- 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, PortfolioAid and Open-Source Ticket Request System (OTRS))

- University degree or college diploma
- Completion of the Canadian Securities Course (CSC); Conduct and Practices Handbook (CPH)
- Completion of Derivatives Fundamentals Course (DFC), Options Licensing Course (OLC), Option Supervisor Course (OPSC) and Branch Managers Course (BMC) are an asset

Education