



Position Title Senior Policy Analyst, Regulatory Change

Location Toronto, Ontario

Reporting To Manager, Regulatory Change

Position Overview

The primary responsibilities of this role are to support Richardson GMP in researching, writing, and socializing robust policies and procedures in the management and operations supporting Regulatory Compliance. The Senior Policy Analyst must have exceptional writing, communication and analytical skills and must be comfortable working with complex rules and requirements from Regulatory and other Legislative requirements.

Duties and Responsibilities

- Support the Manager, Regulatory Change to ensure all policy and procedures manuals, testing and review procedures for advisor compliance, branch and compliance operations are updated within prescribed time frames, that they reflect current practices, and comply with all applicable regulatory requirements
- Communicate new and amended internal policies and regulatory requirements, and incorporate these updates/amendments within the policy and procedures manuals
- Work collaboratively with business and support teams to provide ongoing advice and guidance on risk and compliance implications related to new and ongoing policies, procedures and practices
- Support the Manager, Regulatory Change in ensuring ensuring that the Compliance Manual and all related policies and procedures are up to date or otherwise tracked with action plans where changes are pending
- Conduct and support training on policy and procedures and on “hot” topics and on new/amended policies
- Partner with Manager, Legislative Compliance to ensure all policy and procedures manuals, testing and review procedures for advisor compliance, branch and compliance operations are updated within prescribed time frames, that they reflect current practices, and comply with all applicable regulatory requirements
- Participate in special projects as required

Education

- Post-secondary degree
- Completion of the Canadian Securities Course (CSC), and Conduct and Practices Handbook Course (CPH), an asset

Qualifications

- 5 – 7 years’ experience in a comprehensive and senior compliance and risk role with a focus on managing process, policy development and auditing branch and firm compliance with regulatory and legislative requirements
- Advanced knowledge and understanding of the Canadian securities regulatory landscape, and IIROC and CSA rules and legislation
- Experience interpreting and providing legal opinions in respect of legislation and regulations, in the areas of securities regulation

- Ability to educate, influence, negotiate and to work independently and within a larger team
- Excellent skills in conceptual editing, copy editing and proof-reading
- Strong understanding of front and back office operations
- Service-oriented with an ability to remain calm and professional under pressure
- Sound judgment and integrity
- Ability to think and act proactively
- Self-motivated and interested in ongoing learning and professional development
- Proficient with Microsoft Office Suite