



Position Title **Vice President, Compliance and Regulatory Risk Operations**

Location Toronto

Reporting To Chief Risk Officer

Position Overview The VP, Compliance and Regulatory Risk Operations will work closely with the Chief Risk Officer and play an integral role in the development and management of an efficient, effective, best in class operation. This position will be responsible for all core compliance operating activities including Advisory and Surveillance, Branch and Functional Audits, Complaints & Investigations, Corporate and Individual Registrations.

- Duties and Responsibilities**
- Manage and develop a team of compliance and risk professionals committed to an open and dependable operation with effective support and stewardship to all stakeholders
 - Liaise with high net worth advisory teams, portfolio management, branch management, securities operations, IT and other department leads to advise on compliance requirements, operational outcomes and process fulfillment
 - Produce robust management information in keeping with key risk indicators for team management, regulatory reporting, and corporate governance
 - Contribute to an effective risk culture by minimizing the risk of failed controls and ineffective testing by building an efficient compliance operation with key performance metrics, role clarity and accountability

- Education**
- Post-secondary degree preferably in business, finance, accounting or applicable and comparable work experience
 - Completion of the Canadian Securities Course, Conduct & Practices Handbook, Branch Manager Course, Derivatives Fundamentals Course, Options Licensing Course, Options Supervisors Course

- Qualifications**
- Minimum 10 years industry experience in a compliance, operations or similar capacity
 - Strong operational background with an acumen for technology and embracing automation
 - Sound knowledge of industry regulations (IIROC) and provincial and federal legislation
 - Strong problem solving and analytical skills to determine issues and support business decisions with the ability to adapt to the constantly changing regulatory environment
 - Excellent interpersonal skills and communication skills, verbal and written, and a proven ability to develop and implement solutions to complex issues
 - Judgement and strategic thinker
 - Regulatory compliance and technology-based project management skills
 - Proficient with Microsoft Office Suite