



Position Title **Senior Compliance Officer, Regulatory Change**

Location Toronto, Ontario

Reporting To Manager, Regulatory Change

Position Overview The primary responsibility of this role is to manage the day-to day Portfolio Aid Enterprise Solution ensuring that it meets our service level commitments. Utilizing a strong understanding of the Compliance business model and practices, the Portfolio Aid Solution provides oversight to Advisors, Branch Managers and Head Office Compliance. The individual will identify, measure, monitor and control the application. It is important that the incumbent creates and maintains strong internal relationships with Business stakeholders, internal Application support team and with the Portfolio Aid vendor.

The longer term strategic vision is that this role will support additional projects within the Compliance and Risk team.

In addition to the above, this role is also responsible to support Richardson GMP in researching, writing, and socializing robust policies and procedures in the management and operations supporting Risk & Compliance. The individual must have exceptional writing, communication and analytical skills and must be comfortable providing training and working with complex rules and requirements from Regulatory and other Legislative requirements.

Duties and Responsibilities

Portfolio Aid Enterprise Solution and other Special projects:

- Provide overall management direction for the Portfolio Aid tool including support and implementation
- Participate in internal initiatives and industry committees that may impact Portfolio Aid and make recommendations accordingly
- Ensure consistency of Portfolio Aid utilization across the country through regular communication, training and education
- Identify immediate training gaps and make recommendations
- Create new and ongoing training material and user guides for Branch and Head Office Departments on key application development upgrades or changes
- Conduct and support training on portfolio aid and other special projects, if applicable
- Expand the scope of the tool to create additional efficiencies at the Branch and Head Office levels
- Ensure changing industry regulations are incorporated into the Portfolio Aid tool
- Timely reporting and escalation of issues and problems through submitting and tracking application defects and enhancements
- Analyze and report data for supervision & metrics reporting
- Monitor and assess usage of Tier 1 and Tier 2 supervisors
- Coordinate and participate with ongoing Portfolio Aid development and testing
- Participate in other special projects as required

- Represent department for related Dealer/Industry projects

Support of policy, procedures and practices:

- Support the Manager, Regulatory Change to ensure all policy and procedures manuals are up to date or updated within prescribed time frames and that they accurately reflect current practices, and comply with all applicable regulatory requirements
- Maintain a tracking sheet to ensure new policies are incorporated, amended policies are updated and gaps are identified and addressed
- Communicate new and amended internal policies and regulatory requirements to the field, and incorporate these updates/amendments within the policy and procedures manuals
- Conduct and support training on policy and procedures and on “hot” topics and on new/amended policies
- 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
- Communicate with Senior Management Team to ensure Dealer and Regulatory expectations are met

Education

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

Qualifications

- Five to seven years of experience in a comprehensive 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 of securities products and understanding of the Canadian securities regulatory landscape, IIROC and CSA rules and legislation including detailed knowledge of IIROC Tier I and Tier 2 supervisory requirements
- 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
- Strong understanding of front and back office operations
- Ability to quickly understand business processes and their risk implications, analyze complex situations, reach appropriate conclusions and make practical recommendations
- High level communication skills both written and verbal
- Excellent customer service skills, relationship skills and negotiation/conflict resolution skills with an ability to deal effectively with staff at all levels
- Excellent skills in conceptual editing, copy editing and proof-reading
- 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 Dataphile and Microsoft Office Suite