

Director Compliance FCC

The Opportunity

The role of Director Compliance FCC will assist the CCO and VP Risk Oversight in ensuring that FCC meets all of its regulatory and compliance requirements in its trading, clearing and custody business. This role is responsible for leading team members to identify, resolve and address complex issues impacting the business. This role defines a clear course of action to resolve matters. This role provides responses to complicated regulatory inquiries and analyzes internal processes and provides direction to business leaders to enable them to implement process improvements. They analyze complex rules and requirements and identifies where business units may be impacted and recommends a course of action.

What You Will Do

- **Develops/ Implements Policies and Procedures based on Internal and External Requirements:**
 - Leads implementation efforts of new/ existing regulatory policies and takes into consideration business unit level and legal entity level.
 - Inputs into new business unit procedures and implementation of procedures, system enhancements and controls.
 - Responsible for ensuring all firm's policies and procedures meet all IIROC and other regulatory requirements. Identifies new regulatory and legislative initiatives that will impact FCC business and provides comments where necessary to impact rule making process.
 - Participates in key industry committees to provide direction on new regulations.
- **Managing Internal/ External Incidents/ Findings/ Inquiries and Examinations:**
 - Leads resolution of complex remediation of audit and regulatory issues brings them to closure and communicates outcomes to senior business leaders.
 - Communicates the resolution of issues to regulators. Recommends a course of action. Approves and releases the response to complex inquiries
- **Reporting/ Filing/ Governance:**
 - Writes and finalizes regulatory filings, reports and responses to regulators on complex inquiries.
 - Prioritizes areas where internal and business unit reporting is needed.
 - Drafts and reviews board reports. Supervises preparation of reports by team.
 - Creates and maintains a governance structure to report compliance matters to boards, oversight committees and senior management.
- **Responsible for trade surveillance and AML programs.**
 - Ensures that they are modified and updated as circumstances warrant.
- **Strategy and execution**
 - Provides input into the business planning process for function by leveraging deep understanding of the business and proactively identifying initiatives that will optimize execution of business strategy.
 - Participates in business plan execution by taking ownership of assigned key functional initiatives as well as participating and advancing strategic company initiatives.
 - Role of project lead/member as it relates to projects and initiatives that are compliance related such as FATCA, QI, CRM.
 - Conveys an appropriate sense of urgency; drives issues to closure and sets deadlines to accelerate decisions and actions.
 - Responsible for expense management
- **Adhere to all manager accountabilities**
 - Exemplifies the Fidelity Values and leadership behaviours.

- Acts in accordance with the understanding that your management role has an objective of developing and encouraging others to succeed by doing the right tasks at the right time – every day –to become the best they can possibly be.
- Develops an employee base capable of meeting Fidelity's current and future talent needs. Evaluates performance and provides continual constructive feedback, coaching and guidance to strengthen team and individual effectiveness; provides challenging assignments to develop employees.
- Addresses performance issues, conflicts in a timely and direct manner.
- Translates strategies into clear goals, plans and metrics for team and individuals. Ensure that people understand how their work connects to their organization's goals; keeps people focused on priority goals and metrics. Challenges people to set and achieve ambitious goals and holds them accountable
- **Client Experience and Relationship Management**
 - Develops strong client relationships where influencers serve as advocates for FCC within their firm.
 - Be a role model for our employees for delivering **stellar quality customer service interactions** to our internal and external customers to exceed their expectations and create a positive experience.
 - Deliver **seamless customer service** through **teamwork and collaboration**. Continually searches for ways to improve customer service, including the removal of barriers and providing solutions.
 - Ensures follow-up with customers to certify that the resolution of problems maintains customer satisfaction and loyalty.
 - Addresses customer needs by involving the right people (resources) at the right time.
 - Actively interacts with external and/or internal customers to identify and anticipate requirements, expectations and needs.
- Using **continuous improvement** methodologies continually searches for and takes initiative to improve and/or eliminate ineffective processes to improve customer service or gain efficiencies

What We're Looking For

- More than 7 years in a compliance leadership role within the financial services industry, preferably in securities, wealth management or brokerage business.
- A minimum of 3 years' people management experience
- University Degree
- CCO course is an asset
- Branch Manager course is an asset
- Trader training course is an asset
- Options Supervisor course is an asset
- Futures Supervisor course is an asset

The Expertise You Bring

- Strong communication - written and verbal
- Advanced critical thinking and problem solving skills
- Strong relationship management skills
- Bilingualism in English and French would be considered an asset

What You Can Expect From Us

- Competitive compensation.
- Generous Employer RRSP contribution

- Financial Assistance and Accreditation Awards towards recognized designations pertaining to your responsibilities.
- Eligible candidates may receive a special payment to assist with relocation. Restrictions may apply.
- Top tier benefits and perks including reimbursement for tuition, health and fitness club membership fees and computers for personal use.

Why work at Fidelity?

Here are just a few reasons:

- Canada's Top Employers for Young People (2016)
- Canada's Top Employers 2017
- GTA's Top Employers for 2017
- 2016 National HR Awards
 - Employee Engagement Award
 - Venngo Healthy Workplaces Award
 - Best Social Responsibility Program
- Environics Advisor Perception Study 2016
 - #1 "Overall Fund Company" – Eleven years running.
 - #1 "Overall Back Office and Administration" - 12th year in a row
 - #1 (or tied for #1) in all major categories including:
 - Performance
 - Sales and Marketing
 - Relationships
 - Wholesaler and Inside Sales Performance

Interested applicants are required to apply on-line at: www.fidelity.ca/careers/ Director Compliance FCC (Requisition No: 1709823)

No telephone inquiries or agencies please. We thank all applicants for their interest, please be advised that only those selected for an interview will be contacted.

By applying to this job, you are consenting to receive an automated acknowledgement of your application.

Fidelity Canada welcomes and encourages applications from people with disabilities. Accommodations are available on request for candidates taking part in the selection process. If you require an accommodation, please e-mail us at FidelityCanadaStaffing@fmr.com.