



COMPLIANCE OFFICER - COMPLAINTS

Company Overview

Do you want to work for an established and growing Canadian company in our Quebec City, Montreal or Toronto offices, or in one of the service points in our extensive Canada-wide network?

iA Securities (iAS) is a brokerage firm which offers equities, bonds and pooled investment funds to institutional and retail clients.

Our network of investment advisors supports and guides clients in their investment decisions. We also offer securities trading consulting and research services with respect to capital markets and institutional financing.

A member of iA Financial Group, iAS is led by an experienced team, driven by a desire to serve our clients with professionalism while conducting business in accordance with the highest industry standards.

Description

Reporting to the Director of Compliance, the Compliance Officer - Complaints and Investigations will entail investigating client complaints and internal investigations. The candidate will need to have good knowledge of our current regulatory environment (IIROC) and be a licensed supervisor.

Responsibilities:

- Conduct Internal Investigations
- Reviews and analysis, suitability analysis and profit and loss
- Client Complaint Investigations
- Complete Regulatory filings (COMSET)
- Correspondence with regulators (IIROC and SRO's)
- Record reviews
- Supervisory reviews
- Email reviews
- Policies and Procedure review
- Report writing (Investigation summaries)
- Correspondence (Client and regulators)
- Assist Legal counsel in preparation for arbitration, SRO disciplinary or civil litigation
- Maintain Complaints database and investigation logs
- Internal reporting as needed
- Other tasks as needed



Qualifications

- Licensed IROC Supervisor (Minimum Tier 2)
- Good understanding of current IROC and SRO environment
- Good handle of risk factors of a regulated environment
- Excellent verbal and written communication skills
- Bilingualism (French/English) an asset
- College Diploma or University Degree
- Five years or more of relevant industry experience

To apply, please visit: <http://client.njoyn.com/CL2/xweb/xweb.asp?clid=26021&page=jobdetails&jobid=J0517-1151&BRID=EX164480&SBDID=1&LANG=1>

iA Financial Group is committed to fostering a workplace that promotes diversity and inclusion. We can provide accommodation in our recruitment and selection processes to applicants with disabilities where required. Please contact your Recruiter, or send an email to accessiblecareers@ia.ca