



REGIONAL ADMINISTRATION MANAGER

167536BR
Wealth Management
Toronto, ON

Company Overview

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Overview

As a member of the Private Wealth Management (PWM) National Office, reporting into the Senior Manager, Business & Regulatory Solutions (B&RS), the Regional Administration Manager (RAM) is a trusted advisor providing critical guidance, solutions and oversight to Private Investment Advice (PIA) branch management (BM, ABMs, MCSs) and advisors within their assigned region(s) to successfully manage their regulatory, compliance and business risk, both proactively and reactively. This role is a business and regulatory subject matter expert, able to identify and manage potential regulatory/compliance gaps, challenge existing policies and procedures, and approve and/or recommend solutions to enable business, with appropriate mitigating controls. Through execution and shared ownership of the PIA Branch Testing program, the RAM plays a critical role in ensuring that a proactive approach is taken to identifying risks at the advisor, branch, and regional levels and working with branch management to remediate those risks once identified. The role also is responsible for the regulatory supervision of producing Branch Managers within their assigned region(s).

It is expected that the incumbent maintain continuous registration with IIROC as a Supervisor of Registered Representatives (RRs) and Supervisor Options.



Key Accountabilities include:

Provide Risk Support to PIA Management and Field

- As regulatory and risk subject matter expert, provide guidance and advise to branch management on the appropriate handling of regulatory and operational risk matters within Private Investment Advice
- Responsible for fulfilling all IIROC and business supervision requirements of producing Branch Managers
- Provide input as business SME in regulatory/risk projects and provide field support for new/updated regulatory/compliance/risk based policies/procedures/initiatives in PIA
- With the aid of reporting, provide high level oversight that supervision and business risk policies and procedures are being appropriately managed on an ongoing basis and take action where it is necessary to do so
- Assess all risk escalations for appropriate action and/or approval within PIA's risk appetite
- Work with TD Wealth Compliance and TD Legal to ensure that client complaints, and regulatory and disciplinary issues are fully analyzed and appropriately addressed.
- Manage loss reporting and the debt repayment process within assigned region(s)
- Keep Region Heads aware and well informed of areas of real and potential risk in their region and steps being taken to mitigate those risks; provide support as required on risk assessments in Legacy deals, competitive recruits, PM applications, etc.

Testing

- Execute the PIA Branch Testing program for assigned branches; deliver reporting to branch and regional management and ensure deficiencies identified are addressed. Use the program to support and train new Branch Managers in the role. Recommend changes and updates to the program as policies and the risk landscape changes.
- Prepare and work with assigned branches to successfully complete internal and external audits; assess and where appropriate, challenge findings and support management in responding to findings. Support the validation that findings have been addressed.

Risk Mitigation Activities

- Work with peers to prepare and deliver presentations and training to branches and branch management on various risk/compliance issues
- Perform IA Desk/Book Reviews and adhoc PIA book reviews as required. Prepare recommendations for action; escalate and follow-up as required



Qualifications

- Strong understanding of the regulatory environment in which IIROC Dealers operate, including regulations associated with anti-money laundering and privacy
- 7-10 years of progressive experience in the Canadian brokerage industry, ideally with some time spent in a client facing role
- Strong relationship management skills
- Strong analytical and decision making skills; able to assess and decision on a balance of the risks, i.e. decision effectively matters in the "grey".
- Effective oral and written communication skills; able to concisely present information in support of a well thought out conclusion or recommendation
- Well organized and able to execute well in a multi-task environment
- Proficiency in MS Office (Excel, Word) and experience in developing Power Point presentations
- Successful completion of the Canadian Securities Course, Conduct and Practices Handbook and Branch Managers Course are a prerequisite for consideration in this position.
- The Derivatives Fundamentals and Options Licensing Course, if not already completed, must be completed within 4 months of hire and Options Supervisor Course within 6 months of hire.

Additional Information

This role interacts with the following key partners: Private Investment Advice branch management, advisors, regional and national offices; Wealth Compliance; TD Legal; TD Audit; Business Surveillance within Wealth Shared Services (WSS) Governance & Control, as well as operations groups within WSS.

Inclusiveness

At TD, we are committed to fostering an inclusive, accessible environment, where all employees and customers feel valued, respected and supported. We are dedicated to building a workforce that reflects the diversity of our customers and communities in which we live and serve. If you require an accommodation for the recruitment/interview process (including alternate formats of materials, or accessible meeting rooms or other accommodation), please let us know and we will work with you to meet your needs.

How to Apply

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