



Senior Manager, Advisory, Investment Banking & Research (GBM Compliance Canada)

Purpose:

Is a member of a world class Advisory team for GBM Canada focused on Investment Banking and Research and their related front, middle and back office support and operational teams. Ensures business strategies, plans and initiatives are executed / delivered in compliance with governing regulations, internal policies and procedures.

Accountabilities:

Leads and drives a customer focused culture throughout their team to deepen client relationships and leverage broader Bank relationships, systems and knowledge.

Participates as part of a world class Advisory team and program that delivers consistently efficient and effective compliance support to Investment Banking and Research.

Supports the Director, Advisory and provides ongoing counsel and advice in all Canadian related compliance matters for Investment Banking and Research.

Ensures that the policies and advisory procedures for Investment Banking and Research reflect, at a minimum, all Canadian legislative and regulatory requirements.

Supports the development and implementation of Compliance training programs for Investment Banking and Research designed to meet regulatory requirements or best practices.

On an ongoing basis, monitors and reports on the state of the GBM Canada Advisory Compliance program for Investment Banking and Research through regular meetings with business, compliance and control personnel, the preparation and/or review of management information reporting and internal audit/regulatory review results.

Oversees, coordinates and/or assists in the preparation for reviews and information requests related to Investment Banking and Research from Canadian and International regulatory bodies.

Assists on specific projects (e.g. special investigations, regulatory initiatives etc.).

Understands how the Bank's risk appetite and risk culture should be considered in day-to-day activities and decisions.

Creates an environment in which his/her team pursues effective and efficient operations of his/her respective areas, while ensuring the adequacy, adherence to and effectiveness of day-to-day business controls to meet obligations with respect to operational risk, regulatory compliance risk, AML/ATF risk and conduct risk, including but not limited to responsibilities under the Operational Risk Management Framework, Regulatory Compliance Risk Management Framework, AML/ATF Global Handbook and the Guidelines for Business Conduct.

Motivates their team by fostering an inclusive work environment; communicating vision/values/business strategy and managing succession and development planning for the team.

Education/Experience:

- College Diploma or University Degree
- A minimum of seven or more years of relevant experience in a large financial institution or established securities or other financial services activity regulatory agency
- A thorough understanding of Capital Markets products traded in Canada
- General understanding of Canadian regulatory and industry trends related the skills to translate requirements into efficient and effective, policies, procedures, controls, systems and training
- An enquiring mind, excellent judgment, strategic thinking skills and attention to detail
- Excellent written and verbal communication skills and a proven ability to develop and implement solutions to complex issues
- Ability to learn and adapt to rapidly changing regulatory and business environments

For more information and to apply please visit

<https://jobs.scotiabank.com/job/Toronto-Senior-Manager%2C-Advisory%2C-Investment-Banking-&-Reserach-%28GBM-Compliance-Canada%29-ON/355106417/>