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Senior Compliance Officer, Control Room

Purpose:

The incumbent is responsible for administering compliance programs with respect to the use and protection of confidential information and material non-public information, managing certain conflicts of interests and personal trading (these are key elements of the Bank's information barrier program), aggregation of securities and insider trade reporting. The primary purpose of the role is to administer these programs on a daily basis. For ease of administration, these programs are referred to as issuer programs or employee programs.

Key Accountabilities:

1. The incumbent is responsible for administering the employee or issuer compliance programs managed by the Control Room, as assigned;

Administering the employee programs includes

- working in conjunction with management and business line employees to determine which departments or employees have access to confidential information and should be included in a personal trading program that includes trade pre-clearance and monitoring,
- monitoring employee personal trading,
- reviewing and recommending approval of employee outside business activities and outside directorships to management, as appropriate,
- preparing and submitting insider trade reports for reporting insiders of the Bank on the System for Electronic Disclosure by Insiders, and
- assisting with the development and delivery of employee training.

Administering the issuer programs includes

- working with front office employees so that information about customer and bank mandates is appropriately reflected on the watch and restricted lists,
- effectively challenging and documenting information barrier wall crossing requests,
- identifying and escalating potential conflicts of interest that require adjudication,
- providing guidance to the supervisory analysts on when the issuance of research must be restricted and what disclosures must be made,
- preparing and submitting insider trade reports for the Bank on the System for Electronic Disclosure by Insiders, and
- monitoring trading to comply with the Bank's securities aggregation policy, including trade pre-clearance of proprietary trades and maintaining the Bank's ownership limits list.

2. The incumbent is a point of contact for day to day questions related to the policies and programs the Control Room oversees (such as, is a transaction material, should a research or trading restriction be imposed, or does this trade need to be pre-cleared) and will escalate questions as needed.

3. The incumbent is responsible for assisting management in preparing responses to inquiries from internal audit or regulatory bodies as they relate to Control Room functions.
4. The incumbent assists management in the development of internal policies and procedures to enhance the effectiveness of program delivery and reflect changes in regulatory requirements. The incumbent is expected to update Control Room operational procedures as required.
5. Other duties and projects as assigned. This includes acting as back up for another senior compliance officer when needed.

Education/Work Experience/Designations:

This position requires

- Post-Secondary education and/or professional designations
- Canadian Securities Course
- Minimum of 5 years of related experience at a major financial institution
- In-depth knowledge of regulatory and compliance requirements and issues in the institutional business and the securities industry
- Knowledge of industry practices regarding institutional compliance matters
- Effective oral and written communication skills

The following courses are an asset:

- Conducts and Practices Handbook
- Derivatives Fundamental Course
- Trader's Training Course

The following computer skills are an asset

- Bloomberg
- Microsoft applications (including Word, Access, Excel and Power Point)
- familiarity with the internet and related applications as tools for conducting compliance related research

The following are assets:

- Spanish language skills
- An understanding of the Scotiabank organizational structure, risk management structure, operational procedures and the business activities, products and services offered by the business units
- An understanding of the Investment Industry Regulatory Organization of Canada (IIROC) rules and FINRA rules is an asset as is an understanding of Canadian securities and banking legislation.

NOTE:

1. The Control Room provides support to the business 7 days a week and on certain public holidays. Flexibility to work overtime is required (often with little or no prior notice).
2. Incumbent will be on call.

For more information about this opportunity and to apply, please visit

<https://jobs.scotiabank.com/job/Toronto-Senior-Compliance-Officer%2C-Control-Room-ON/354781917/>