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Senior Manager, Compliance, Trade Surveillance

Purpose:

Responsible for managing a team Compliance Officers who perform surveillance, monitoring and testing of Fixed Income, Equities, Derivatives (Listed and OTC) and Foreign Exchange sales and trading activities conducted by Global Banking and Markets and all divisions of Scotia Capital Inc. (the "Applicable Business lines") for compliance with regulatory requirements. The surveillance program includes planning, scheduling, monitoring and reporting results to the Applicable Business Lines for daily, weekly and quarterly compliance testing.

Key Accountabilities:

- Maintains deep knowledge & understanding of industry issues and practices, regulatory requirements and associated changes.
- Liaise and respond to regulatory inquiries as needed, and support Applicable Business Line leaders in management of same.
- Leads a team of trade surveillance professionals, with oversight for the monitoring of the Applicable Business lines' trading activities as required by governing regulatory bodies.
- Supports the development of internal policies aligned with applicable industry regulations and reflective of rule changes from various regulatory bodies. Effect policy determinations and decisions within the strategic framework.
- Identifies non-compliance situations and trends, and provides recommendations for remediation

Skills:

- Current knowledge of securities regulations in Canada such as UMIR, National Instruments: 31-103, 23-101, 24-101, IIROC Dealer Member Rules, Anti-money laundering and privacy legislation.
- At least 10 years of related experience at a major financial institution.
- Should be extremely familiar with trading functionality.
- Strong comprehension and use of automated surveillance systems.
- Should be somewhat familiar with middle and back office processes.
- Demonstrated ability to manage and mentor staff.
- In-depth knowledge of the securities industry, regulatory and compliance requirements, along with the potential issues that may arise within the Applicable Business lines.
- Experienced in the initiation, development and implementation of new policies and procedures.
- Knowledgeable about industry practices regarding institutional and retail compliance matters

Educational Requirements:

- Post-Secondary education and/or professional designations.
- Canadian Securities Course (CSC)
- Conducts and Practices Handbook (CPH)
- Trader's Training Course (TTC)
- Derivatives Fundamentals Course

- Options Licensing Course
- Futures Licensing Course

For more information about this opportunity and to apply, please visit <https://jobs.scotiabank.com/job/toronto/senior-manager-compliance-trade-surveillance/12570/4701582>