



Business Conduct Compliance Examiner - Permanent –Full-time – Toronto BUSIN01789

As a self-regulatory organization, the Investment Industry Regulatory Organization of Canada (IIROC) takes our responsibility of setting high-quality regulatory and investment industry standards seriously, while protecting investors and supporting healthy capital markets in Canada.

In Business Conduct Compliance we take great pride in what we do. By joining our dynamic and collaborative team of industry professionals, you will have the opportunity through the examination process to make a difference for investors and the capital markets.

As a key member of the team, the Business Conduct Compliance Examiner conducts field reviews of sales and business conduct compliance activities of Dealer Member head office and business locations. You will interpret and apply IIROC Dealer Member Rules to the evolving business models of firms.

You will contribute to a performance culture, while maintaining a healthy work-life balance, having the ability to participate in the work-from-home program once extensive training has been completed.

Key Responsibilities:

- Gather information to assess a Dealer Member's business activities to determine the scope of the review and the areas of principal risk, in consultation with the lead examiner
- Assess the risk of assigned examination areas and follow procedures to ensure that examination objectives are achieved and conclusions are adequately supported
- Interact with senior management, supervisory and compliance staff of a Dealer Member to evaluate the effectiveness of the firm's controls
- Draft examination findings in consultation with the lead examiner and assist in the preparation of the examination report that is written in plain language
- Actively contribute to team discussion, openly sharing experiences and ideas to improve examination practices and departmental goals

Education/Experience:

- Undergraduate degree
- The following courses are required: Canadian Securities Course, and Examination based on the Conduct and Practices Handbook for Securities Industry Professionals,
- The following courses are an asset: Derivatives Fundamental Course, Branch Managers Course and Chief Compliance Officers Course
- Total of 3 years in a compliance, audit or supervisory function with a Dealer Member, or 3 years other related employment with a securities regulatory organization.

Key Skills and Competencies:

- Knowledge of securities industry, IIROC Dealer Members and their activities.
- Ability to quickly understand the risks associated with new business lines or products and to formulate practical examination procedures to address them.
- Effective written and oral communication skills
- Attention to detail and ability to exercise sound judgement
- Professional presentation and manner
- Ability to work independently in a team-oriented environment.
- Ability to multi-task, adhere to timelines and work under pressure in different environments
- Interest in ongoing learning and professional development in a compliance capacity
- Motivated to make a difference
- Ability to travel

While we appreciate all applicants, only those who most closely match the position requirements will be contacted for interview.

Link to our website -

<https://www.iiroc.ca/about-iiroc/careers>

IIROC is committed to employment practices that are inclusive and accessible. Accommodations for individuals with disabilities are available. Should you require accommodation, please contact humanresources@iiroc.ca .