

# Compliance Analyst

<b>Role:</b>	Compliance Analyst
<b>Role Description:</b>	<ul style="list-style-type: none"><li>➤ The Compliance Analyst assists the Compliance Department with the analysis required to support the compliance structure of the firm including tier 2 supervision, branch audit analysis and reporting and complaint and investigation analysis.</li><li>➤ The Compliance Analyst reports to the Manager, Compliance and Supervision.</li></ul>
<b>Responsibilities &amp; Activities:</b>	<ul style="list-style-type: none"><li>➤ Conduct tier 2 daily and monthly reviews for all of Canada and follow up with the designated IIROC Supervisor on any issues identified.</li><li>➤ Responsible for high risk client and other AML review processes including the performance of all OFSI/UN filings for the firm.</li><li>➤ Monitor and remediate employee use of text, email and social media (LinkedIn, Twitter, etc.) and providing regular updates to the designated IIROC Supervisor.</li><li>➤ Supports the complaint handling and investigative processes by conducting a preliminary review and analysis of the merits of the concern and providing a recommendation to the Manager on potential outcomes. This includes conducting suitability analysis and preparing information for response to IIROC, OBSI and other regulators.</li><li>➤ Provides support in the branch audit planning process including the development and maintenance of a branch risk model and the preparation and issuance of reports, etc. including tracking stats and recommending remedial actions on the effectiveness of the audit program to the Manager.</li><li>➤ Assist in the maintenance of policies and procedures, guides, flowcharts, bulletins and training materials to support the compliance system which is intended to ensure the firm and individuals acting on its behalf comply with securities legislation and regulatory requirements.</li><li>➤ Perform other duties as may be assigned.</li></ul>
<b>Educational &amp; Industry Requirements:</b>	<ul style="list-style-type: none"><li>➤ Post-secondary education in business administration or similar field of study.</li><li>➤ Minimum of 4 years relevant experience working for a Dealer Member or equivalent.</li><li>➤ Successful completion of Canadian Securities Course is required.</li><li>➤ Completion of the Conducts and Practices Handbook and Branch Managers Course would be an asset.</li></ul>
<b>Knowledge, Skills, &amp; Abilities:</b>	<ul style="list-style-type: none"><li>➤ Strong interpersonal and written/oral communication skills.</li><li>➤ Excellent attention to detail and organizational skills with the ability to handle multiple priorities in a fast pace environment.</li><li>➤ Great attitude and service orientation.</li><li>➤ Proficiency with Microsoft Word, Excel and Access.</li></ul>