

**Position Title**            **Compliance Officer – Complaints & Registrations**

**Location**                    Toronto

**Reporting To**              VP, Compliance

**Position Overview**        Manage complaint files, investigations, regulatory requests as well as assisting with various registration responsibilities for the firm and prepare correspondence as required. The individual must demonstrate excellent written and oral communication skills and possess expert problem solving and decision making abilities.

**Duties and Responsibilities**

- Research and respond to client complaints. This includes providing resolution of the complaint;
- Prepare correspondence to regulatory inquiries as required;
- Assist in gathering documentation for OBSI files;
- Assist in handling firm and individual registration related matters pertaining to IIROC and Securities Commissions;
- Monitor IIROC related Continuing Education (CE) requirements of registered individuals;
- Maintaining internal registration database and registration lists;
- Liaise with Branch Management and branch office personnel regarding complaints, investigations and registration files;
- Monitor, track and report complaints, investigations and registration files through internal systems, such as RADAR and external systems such as ComSet and NRD;
- Submit information on complaint and investigation files to Errors & Omission Insurance company for coverage as required;
- Complete quarterly reports for trend analysis;
- Assist in special projects as required.

**Education**

- Canadian Securities Course required
- Conduct Practices & Handbook (CPH) Course required
- Branch manager’s Course desired
- Bachelors Degree/College Diploma an asset

**Qualifications**

- Minimum of 3 years industry experience in either an investment dealer, mutual fund dealer or Self Regulatory Organization
- Working knowledge of Dataphile systems an asset
- Working knowledge of NRD required
- Very organized
- Excellent attention to detail