



The **Senior Financial and Operations Compliance Examiner** is accountable for analyzing and independently verifying the accuracy and completeness of the submitted information by member firms within the context of the regulatory reporting framework.

Key Responsibilities:

- Perform complex field examinations of the operations of assigned member firms.
- Based on the examination assignment given by the Manager, performs preliminary research and information gathering activities for assigned projects; identify applicable policies and regulations, review prior examination reports and working papers
- Plan the examination of a Member firm. This includes performing a risk evaluation of the Member and determining the necessary customization to the standard examination procedures and/or scope. The revised program is reviewed by the responsible Manager/Director, and is approved by the responsible Vice President
- Review complex financial and/or management procedures to evaluate the adequacy of internal controls
- Interview staff involved in performing the procedures
- Develop documentation describing the workflow; identify desired control objectives (based on defined minimum requirements; identify how control objectives are being met; evaluate risk potential, as required
- Ensure compliance with minimum audit requirements prescribed under IIROC rules and policies
- Supervise Examiners in the field to ensure examination procedures are properly conducted within established timeframes.

Education/Experience:

- Chartered Professional Accountant designation
- Combined 5-7 years' experience in the financial sector audit practice of a national accounting firm and enterprise risk management consulting practice, or similar risk management experience at a large financial institution
- Completion of the Canadian Securities Course
- Completion of the CFO Qualifying Examination
- Completion of the CICA In-Depth Securities Course
- Completion of Canadian Securities Institute "Derivatives Course"

Key Skills and Competencies:

- Excellent understanding of how to document business processes, identify related internal controls, and develop appropriate compliance tests
- Solid understanding of the objectives of the examination process
- Strong audit and examination techniques, (interviewing, documentation, development of test plans to identify the scope and extent of required testing)
- Superior knowledge of the Canadian Auditing Standards and International Financial Reporting Standards
- Knowledge of Enterprise Risk Management practices in place at large financial institutions
- Ability to communicate complex matters both orally and in writing, in a clear, concise, complete, courteous, and logical manner to ensure Members' understanding and responsiveness
- Ability to detect, analyze, and evaluate complex deviations, deficiencies, and non-compliance with generally accepted accounting principles and IFRS, internal control objectives, rules and policies.

#audit #CanadianSecuritiesCourse #risk #CPA #iiroc

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.

While we appreciate all applicants, only those who most closely match the position requirements will be contacted for interview. Apply to this opportunity at iiroc.ca on the career page.