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Senior Compliance Officer, Trade Surveillance

Purpose:

The objective of the Senior Compliance Officer (SCO) is to directly conduct capital markets trading related surveillance, monitoring and support for the Global Banking and Markets & Treasury ("GBM&T") business division of Scotiabank. The SCO is responsible for carrying out Tier 2 compliance activities for assigned internal business groups in accordance with regulatory requirements (in particular those established by securities regulations and Self Regulatory Organizations as well as internal policies and procedures.

Key Accountabilities:

- Champions a customer focused culture to deepen client relationships and leverage broader Bank relationships, systems and knowledge.
- Conduct near real-time and post-trade market related surveillance to address alerts (analyze and address alerts using the SMARTS and other surveillance applications); identify and investigate any potential exchange / marketplace and regulatory rule violations by clients and/or traders.
- Generates reporting of trade surveillance activities for specific GBM&T business lines, business divisions of Scotia Capital Inc ("SCI") and/or products, as required for delivery to business division senior management, supervisors and senior management within Global Compliance in a timely manner and without delay.
- Support the "centre of expertise" function of the Trade Surveillance department on capital markets and trading related matters raised by the business divisions, operations, finance and/or other compliance within Global Compliance; acting as a resource to the team supporting the Trade Surveillance department Senior Manager(s); and assisting Compliance Officers in the execution of their duties.
- Acts independently, conducting research and performing analyses on regulatory or marketplace inquiries, investigations and/or examinations; including internal matters escalated to Trade Surveillance to recommend solutions and actions to take; based on exercising good judgment on moderately complex decisions falling within standard policies and to escalate matters beyond existing policies.
- Develops and delivers annual, periodic and ad hoc compliance and related risk management training, education and awareness initiatives to the appropriate internal stakeholders and business divisions.
- Supports effectiveness testing of business supervision related processes and controls, including identification of gaps in the existing trade surveillance processes.

- Develop and enhance policies, procedures and processes of the surveillance program, as well as assisting other team members (updating compliance procedures manual, drafting policies and procedures), provide back-up support within the team and other projects as assigned.
- Understand how the Bank's risk appetite and risk culture should be considered in day-to-day activities and decisions.
- Actively pursues effective and efficient operations of his/her respective areas, while ensuring the adequacy, adherence to and effectiveness of day-to-day business controls to meet obligations with respect to operational risk, regulatory compliance risk, AML/ATF risk and conduct risk, including but not limited to responsibilities under the Operational Risk Management Framework, Regulatory Compliance Risk Management Framework, AML/ATF Global Handbook and the Guidelines for Business Conduct.
- Champions a high performance environment and implements a people strategy that attracts, retains, develops and motivates their team by fostering an inclusive work environment; communicating vision/values/business strategy and managing succession and development planning for the team.

Qualifications:

- Advanced understanding of retail and institutional equity, fixed income and/or derivatives trading (Listed and Over-The-Counter derivatives), including hedging and other sophisticated trading strategies
- Post-Secondary education and/or professional designations
- Canadian Securities Course, Conduct and Practices Handbook Course, and/or the Trader Training Course
- Minimum of 5 to 7 years of related experience at a financial institution and/or regulated securities dealer
- Able to work independently and with other staff across functional lines within the Bank
- In-depth knowledge of regulatory and compliance requirements
- Identify external market activity, news and additional factors that may influence trading activities
- A comprehensive understanding of the Investment Industry Regulatory Organization of Canada (IIROC) dealer rules and Universal Market Integrity Rules, Montreal Exchange Rules, Financial Industry Regulatory Authority (FINRA) rules, as well as a sound understanding of Canadian provincial securities legislation applicable to trading activities and capital markets, Dodd-Frank Act, Volcker Rule and MiFID II or MAR
- Excellent oral and written communication skills

For more information about this opportunity and to apply, please visit

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