

Compliance Examiner

Compliance and Registrant Regulation Branch

Permanent / Full-Time

File #17-31

The **Ontario Securities Commission (OSC)** is the statutory body responsible for regulating Ontario's capital markets in accordance with the mandate established in the provincial Securities Act and the Commodity Futures Act. The Commission's mandate is to provide protection to investors from unfair, improper or fraudulent practices and to foster fair and efficient capital markets and confidence in capital markets.

The **Compliance and Registrant Regulation (CRR) Branch** oversees the market participants that the public relies upon when investing in securities and derivatives. Using a risk-based approach, CRR focuses on initial and ongoing registration and compliance reviews of registrants. CRR also develops significant policy/legislative initiatives affecting registered firms and individuals, at both the Ontario and national levels. As well, the CRR Branch administers the Opportunity to be Heard process and other administrative processes that deal with registrant misconduct as part of the compliance / enforcement continuum. The branch consists of several multi-disciplinary teams that include professional staff (Chartered Professional Accountants, Compliance Examiners and Lawyers), Registration officers and Support staff.

Summary:

The Compliance and Registrant Regulation (CRR) Branch is currently hiring for a full-time Compliance Examiner with operational experience in the securities industry to join the Dealer Team. This is an excellent opportunity for professionals looking for challenging work in the securities regulatory environment. You will enhance your ability to interpret and apply securities law to the operations of market participants and also have the opportunity to gain valuable regulatory policy experience working alongside fellow professionals in an open and collegial environment.

Key Responsibilities:

As a Compliance Examiner in the CRR Branch, your role will focus on overseeing compliance with securities legislation through the execution of compliance reviews of market participants. Your work will also include contributions to policy projects, process improvement initiatives and the design of new review programs. You will draw on your strong operational or regulatory background to investigate and assess novel and complex issues, and prepare formal review reports, while liaising with key stakeholders including industry, the CSA and SROs.

You Have:

To be successful in this role, you have a minimum of 8 years operational experience in the securities industry and a good understanding of the securities regulatory requirements. You have a demonstrated ability to assess processes using a risk-based approach and make sound, practical business recommendations. This is complemented by your ability to build positive working relationships and engage with internal and external stakeholders. You communicate (verbal and written) ideas clearly and concisely, including when delivering presentations. Professional designations in accounting, law, securities or compliance would be an asset. Also, previous compliance or regulatory experience in securities or the financial industry would be considered an asset.

Grow your career and make a difference working at the OSC.

Apply online at <http://www.osc.gov.on.ca/en/47418.htm>, by **Friday, July 7, 2017.**

The OSC is committed to providing an inclusive workplace environment that meets the accessibility needs of employees with disabilities. Please go to [Accessibility at the OSC](#) to review the OSC's policies on accessibility and accommodation in the workplace.