

Job Opportunity	Chief Compliance Officer, Hampton Securities Limited
Status	Executive, Full-Time Salary
Location	141 Adelaide St W, Suite 1800, Toronto, Canada

Hampton Securities Limited (HSL), a boutique IIROC Type 2 Introducing Broker, has a current opening for a Chief Compliance Officer (CCO). The opportunity is to provide full leadership of the compliance function, while being a strong and contributing member of the Senior Management team of an entrepreneurial firm, in business since 1996.

www.hamptonsecurities.com

Overview

The right candidate will have the opportunity to leverage IIROC regulatory knowledge and compliance supervision experience to positively influence risk decisions and promote a strong culture. On a day-to-day basis, key requirements include performing compliance risk assessment, monitoring and testing, reporting, regulatory tracking and training, while balancing business, legal and regulatory considerations.

Key Responsibilities

- Perform and direct all compliance-related activities and reporting, including but not limited to policies, guidelines, standards and Compliance monitoring and testing procedures and business procedures are consistent with regulatory requirements and interpretations of laws, regulations, rules or any other related industry regulatory standards or guidelines;
- identify local laws and regulations applicable to a Type II Introducing Broker and portfolio manager and monitor changes to the regulatory environment;
- assess compliance with applicable local laws and regulations through periodic monitoring and testing of the business;
- communicate legal and regulatory requirements impacting stakeholders and provide guidance from a Compliance perspective;
- establish policies, guidelines or standards to mitigate Compliance risks;
- produce and submit Compliance reports to management and the board of directors regarding any material circumstances where HSL may be in non-compliance with applicable laws and regulations;
- maintain a Compliance Manual;
- oversee control and monitoring activities;
- conduct self-assessments on compliance controls to ensure they are functioning effectively;
- serve as the regulatory relationship manager, including responding to requests for information from regulators;
- create and maintain Compliance procedures for the monitoring and testing of applicable laws and regulations;
- oversee the process for handling client complaints;
- review new or amended marketing materials
- work collaboratively with all internal departments, including, but not limited to HSL Operations, Private Wealth, Institutional, Corporate Finance, Insurance and Senior Management to ensure timely and consistent communications, implementation of policies/procedures and adherence to regulations

Qualifications, Education & Experience

- Senior IIROC Compliance Supervision: 5 years (Required), 10+ years
- Successfully completed the CCO educational qualifications including PDO and CCO exams
- CFA, Charter holder or lawyer would be an asset
- Post-secondary Degree or Diploma (Preferred)
- Option Licensing and qualification to be Options Supervisor
- Proven experience dealing with regulators including: IIROC, OSFI, CDIC, FCAC, CPIC
- IIROC BCC audit experience and reporting
- Trade suitability and supervision plus client options and warrant trading
- Creditor Insurance compliance would be an asset
- Have or is willing to obtain required licenses for US Securities operation
- Strong writing and oral communication skills
- Strong organizational, team management and project management skills
Effective organization skills, communication and digitally savvy
- Strong attention to detail, ability to work under pressure with tight timelines and multi-task
- Comfortable in an entrepreneurial working "get it done" environment
 - Must be a results-oriented self-starter, strong team player and prepared to take initiative and cooperate with colleagues at all levels across the organization
 - Exceptional written/verbal communication skills and interpersonal skills
 - Experience dealing with relevant regulators including: IIROC, OSC
 - Strong knowledge of Canadian banking and securities laws and regulations
 - Experience within Audit or Operational Risk is considered to be beneficial
 - Post-secondary diploma or degree preferred

Workplace

As an essential business, Hampton is practicing "physical distancing measures" related to COVID-19, with required staff working on premises, each separated in personal offices. Regular work-week schedule with some evening and weekend correspondence (if/when required).