



EMPLOYMENT OPPORTUNITY SECURITIES COMMISSION OF THE BAHAMAS

OFFICER – MARKET SURVEILLANCE

Officer – Market Surveillance

- This position reports to the Manager of the Department and is responsible for offsite surveillance of registered firms, investment fund administrators, public issuers and financial and corporate service providers.
- The responsible Officer must monitor the activities of market participants for compliance with laws, regulations, guidelines and international best practices and assess on an ongoing basis their solvency and risk levels by examining and analyzing all aspects of their affairs.

Principal Responsibilities

- Develop guidelines to facilitate regulatory compliance including the interpretation of laws, rules and policies to aid management decisions.
- Prepare concise and accurate papers and/or reports designed to monitor and evaluate various risks and compliance with enacted legislation and guidelines.
- Review and analyze interim, audited financial statements and annual reports for compliance with regulatory capital requirements.
- Review reports of material change notification for compliance with laws, regulations, guidelines and best practice.
- Elevate issues and identify gaps in Securities laws stemming from surveillance activities.
- Monitor the compliance of the BISX with the ongoing conduct of business in adherence to the BISX Rules and the Delegated Authority Protocol.
- Oversee compliance of public issuers as regards obligations under securities legislation and the BISX rules.
- Conduct ongoing surveillance of public companies trading activities.
- Liaising with the BISX, BCSD and public issuers.

Qualifications/Experience

- Bachelor's degree in Economics or Finance;
- 2-3 years' experience in the financial services industry
- Chartered Financial Analyst (Level 1) would be an asset
- Master's degree in Economics, Finance, Law or Business is a plus
- Knowledge of capital markets, products, legislation and regulatory environment is a plus

Knowledge/Skills

- Strong technical knowledge of industry and products, including financial soundness risk management frameworks
- Knowledge of financial services legislation (e.g. Securities Industry Act, 2011 and Investment Funds Act, 2003)
- Must possess the following:
 - o strong communication skills (oral and written)
 - o strong analytical skills
 - o strong organizational skills
 - o microsoft office suite
 - o strong time management skills
 - o strong decision making skills
- Be able to work independently

Compensation and Benefits

- Competitive salaries and benefits offered

Contact Information

Manager, Human Resources Department

Securities Commission of The Bahamas

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Deadline for applications: March 29th, 2018.