



JOB DESCRIPTION

Name		Job Title	Senior Officer
Reports To Position	Manager/Assistant Manager	Position Start Date	
Department	Authorisations	Employment Status	<input type="checkbox"/> Full-time <input type="checkbox"/> Part-time <input type="checkbox"/> Contract
Salary Range		Date of last JD update	

Job Summary

This successful candidate will be responsible for reviewing and providing recommendation on behalf of applications submitted pursuant to legislation - Securities Industry Act, 2011 (SIA), Investment Funds Act, 2003 (IFA) and Financial and Corporate Service Providers Act. (FCSPA) on behalf of new and an existing portfolio of entities. Demonstrate proficiency in administrating, review and processing of applications. May be approved to represent the Department in the absence of the Manager and Assistant Manager.

Improve the legislative and regulatory framework identifying areas of risk and opportunities.

Preparation of applications (performing due diligence, assessing fitness and propriety, etc.) pursuant to the SIA, IFA, and FCSPA

Review of LBA filings

Making recommendation for the approval of applicants under the various legislation.

Review and make recommendation for new products (e.g. investment fund structures) and other innovations.

Lead on special projects and assignments

Conduct research and develop papers on new applicants, industry development and policy matters (e.g. board, industry consultation, guidelines, policies and procedures).

Development of Internal Memos, Opinions, Board Papers, Information Booklets and Guidelines

Review and make recommendation for improvements in the legislation/processes, where gaps or deficiencies are identified.

Enhance internal systems & work environment to support employee relations (People development and capacity building).

Assist in teambuilding and training activities

Improve operational efficiency.

Ensure that registrant/licensee and fee information are accurately entered and maintained in the Database.

Monitor all applications receiving conditional and subject to approvals

Prepare and monitor the reconciliation of fees with the Financial Controller Department.

Produce reports related to the processing of applications.



Balance stakeholder needs, maintaining quality service standards.
Addresses external queries from industry stakeholders (e.g. market participants, regulators) in a timely manner
Addresses inter-departmental queries
International Compliance Standard Adherence.
Consult with policy and research on the introduction of new standards and principles that would impact the Department's functions.
Maintain good relationships with external stakeholders (e.g. applicants, local and international regulators, etc.)
Ensures teamwork & effective supervision.
Assist management with the review of recommendations of applications and proposed new structures.

SKILL REQUIREMENTS
Strong knowledge of investment products, investment services and corporate structures.
Organizational and time management skills
Ability to work independently
Attention to detail and high level of accuracy
Analytical and problem solving
Proficient writing skills
Strong command of the various legislation (SIA, IFA, and FCSPA)
QUALIFICATION REQUIREMENTS
3-5 years' experience in the financial services industry
Undergraduate degree in Law, Economics, Finance or Accounting
Proficient in Microsoft suite (Word, Excel, PowerPoint, Access)
Knowledge of the financial service industry
<i>I acknowledge and accept the above job functions, understanding that changes can be made periodically.</i>
Employee's Signature: _____ Date: _____
Supervisor's Signature: _____ Date: _____