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| <b>Position Title</b>       | <b>Senior Manager - Compliance</b>   |
| <b>Purpose</b>              | <p>The purpose of the Senior Manager - Compliance is to assist Chief Compliance Officer (CCO) in ensuring Questrade operates within the rules and regulations prescribed by the Investment Industry Regulatory Organization of Canada (IIROC), the Financial Industry Regulatory Authority of the US (FINRA), the Financial Transactions and Reports Analysis Centre of Canada (FINTRAC), Financial Crimes Enforcement Network (FinCEN) and other provincial and territorial securities commissions, regulators and legislatures.</p>  |
| <b>Job Summary</b>          | <p>The Senior Manager - Compliance will lead and manage a group of Compliance Officers and execute measure and refine Compliance programs at Questrade.</p> <p>The Sr. Manager will also work closely with the CCO in reporting on progress and overall status of compliance regularly to Questrade's Senior Management and Board of Directors.</p>  |
| <b>Job Responsibilities</b> | <ul style="list-style-type: none"> <li>• Ensure operational compliance with internal policies and procedures, as well as IIROC, FINRA, FINTRAC and FinCEN rules as well as those of other provincial and territorial securities commissions, regulators and legislatures.</li> <li>• Work with management in the development and enhancement of products to ensure compliance with applicable laws and regulations; coordinate development and maintenance of supporting policies, procedures, agreements and contracts.</li> <li>• Manage Compliance programs at Questrade.</li> <li>• Serve as the secondary contact with IIROC, FINRA, FINTRAC, FinCEN and other regulatory bodies.</li> <li>• Assist and coordinate all regulatory reporting in a timely manner.</li> <li>• Handle client complaints efficiently and effectively in a timely manner and track to resolution</li> <li>• Work closely with regulators and third parties to coordinate, prepare and manage audits.</li> <li>• Supervise and manage a team of compliance officers</li> <li>• Ensures compliance for assigned line of business and directs the work of assigned Compliance staff</li> <li>• Act as a source of expert knowledge of all the company and regulatory compliance requirements</li> <li>• Initiate a communication that ensures a clear understanding of compliance standards required of individuals</li> <li>• Assess and respond to client complaints</li> <li>• Leads internal audits and reviews</li> <li>• Conduct daily and monthly account activity supervision</li> <li>• Complete client risk assessments</li> <li>• Recommend improvements to internal controls and business processes</li> <li>• Take ownership of processing and completing of all tasks as assigned</li> </ul> |

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| <b>Qualifications</b> | <p>Qualifications and Exams – required prior to start date. Please note courses must be current:</p> <ul style="list-style-type: none"> <li>• Options Supervisor Course (OLC)</li> <li>• Derivatives Fundamental Course (DFC)</li> <li>• Canadian Securities Course (CSC)</li> <li>• Conduct and Practice Handbook Course (CPH)</li> <li>• Partner Directors and Officer Course (PDO)</li> <li>• Successful completion of CCO Qualifying exam</li> <li>• Various FINRA qualifications and exams</li> </ul> <p>Required Knowledge and Experience:</p> <ul style="list-style-type: none"> <li>• In-depth knowledge of the Canadian securities industry, including IIROC and FINTRAC regulations</li> <li>• Series 4 Registered Option Principal Exam</li> <li>• Trade desk experience or experience in compliance monitoring of a Trade desk is required</li> <li>• Post secondary degree/diploma in related field</li> <li>• 5+ years industry experience preferred</li> <li>• 5+ years related experience required preferably in a senior compliance role</li> <li>• 5+ years people management experience required</li> <li>• Experience in the Money Services Business</li> <li>• Experience in ATML Compliance and Programs</li> <li>• Excellent verbal and written communication skills</li> <li>• Series 7 General Securities Representative Exam would be an asset</li> </ul> <p>Preferred Knowledge and Experience:</p> <ul style="list-style-type: none"> <li>• Canadian Commodity Supervisors Exam course</li> <li>• Sound knowledge of the US securities industry, including FINRA and FinCEN regulations</li> <li>• Legal, risk management or professional accounting background would be an asset</li> </ul> |
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