



Career Opportunity

FCNB is a leader in integrated financial and consumer services regulation. FCNB's mandate is to protect consumers and enhance public confidence in the financial and consumer marketplace through the provision of regulatory and educational services. With offices in both Fredericton and Saint John, it is responsible for the administration and enforcement of provincial legislation regulating mortgage brokers, payday lenders, real estate, securities, insurance, pensions, credit unions, trust and loan companies, co-operatives, and a wide range of consumer legislation. FCNB is an independent Crown corporation funded by the regulatory fees and assessments paid by its regulated sectors.

We offer opportunities for dedicated professionals to play a vital role in carrying out our mandate.

Compliance Officer – Saint John, NB

We are seeking an experienced professional with a broad range of skills to join our team as a Compliance Officer in our Securities Division. As a Compliance Officer, you will coordinate and conduct compliance reviews of market participants to ensure registrants comply with securities legislation, rules and regulations. You will prepare post-audit reports to summarize results of the reviews, recommend corrective action where necessary, and prepare case files for referral to our Enforcement Division where there is significant non-compliance. You will also assist the Senior Securities Officer with registration related initiatives.

Your prior experience in a regulated sector, particularly the securities industry, will be key to the success of this position. This experience may include acting as a branch manager, supervisor, financial assistant, adviser associate or working in the compliance department of a regulated firm.

You will liaise with other provincial regulators and self-regulatory organizations with respect to compliance issues. You will remain informed of current market issues and industry trends, and you will contribute to the development of local and national rules relating to compliance matters.

This position reports to the Deputy Director in the Securities Division.

Your qualifications include:

- University degree in business, commerce, public administration or a related discipline;
- 3+ years of relevant industry work experience;
- Understanding of risk and compliance issues in a regulatory environment;
- Experience in conducting audits, examinations and/or compliance with respect to regulated industry participants is an asset;
- Working knowledge of securities legislation is an asset;
- Completion of Canadian Securities Institute courses is an asset;
- Written and verbal proficiency in both official languages is an asset;
- Strong organizational skills with the ability to manage multiple priorities and meet deadlines;
- Well-developed computer skills in a variety of software applications;
- Knowledge of other financial services industries is an asset.

The Financial and Consumer Services Commission offers a competitive salary and benefit package as well as excellent opportunities for personal growth and challenge. If you are interested in being a key part of this team, please forward your résumé and covering letter to:

Financial and Consumer Services Commission

ATTN: Human Resources Officer

Email: Information@fcnb.ca

For more information about this position please visit our website at www.fcnb.ca or call the Human Resources Officer at (506) 643-7858.