

## Securities Investigator, Investigations

(Competition 2021.23B)

### Our organization:

The Alberta Securities Commission is the industry-funded regulator responsible for administering the province's securities laws. It is entrusted with fostering a fair and efficient capital market in Alberta and with protecting investors. As a member of the Canadian Securities Administrators, the ASC works to improve, coordinate and harmonize the regulation of Canada's capital markets.

The Enforcement division enforces Alberta securities laws by investigating and prosecuting breaches of those laws with a view to stopping current misconduct and preventing future misconduct.

### The opportunity:

Reporting to the Team Lead, Investigations, the Securities Investigator will be responsible for conducting detailed investigations of complex matters, both individually and as part of a multi-disciplinary team, into breaches of securities legislation. The successful incumbent will draw from their capital market expertise and apply it to financial investigative activities while developing their investigation skills within a supportive and mentoring diverse team of professionals.

### Key responsibilities include:

- Managing complex investigations with respect to breaches of securities legislation with a focus on insider trading and market manipulation, from the initial complaint through conclusion of the investigation.
- Working with other members of the Investigations department to develop strategies and tactics to disrupt active breaches of securities legislation.
- Developing detailed investigation plans that outline strategies to collect relevant evidence.
- Preparing for and conducting witness and respondent examinations, using the powers of a statutorily-appointed investigator.
- Preparing summonses and search warrants to collect evidence and relevant financial information and business records for analysis.
- Preparing comprehensive investigation reports, recommending courses of action, working closely with litigation counsel in preparing for the prosecution of cases at hearings, and testifying at hearings before ASC panels or in provincial court.
- Cooperating and consulting with police agencies, stock exchanges, self-regulatory organizations, securities regulators (nationally and internationally), reporting issuers, and other entities.
- Occasionally travelling within Alberta and elsewhere to conduct interviews and obtain evidence.

### The ideal candidate will possess:

- A post-secondary degree in a related field or area (e.g., Criminal Justice, Business, Finance, Law, Economics, etc.).
- Five or more years of securities industry experience with a solid working knowledge of capital markets, and/or securities law.
- At least two years of experience as a broker or trading desk compliance/supervisor, with knowledge of trading systems and current trading practices.
- Experience with investigative and/or compliance activities such as interviewing, researching, gathering and handling evidence, documentation of findings and providing recommendations in a related environment (e.g., law enforcement, commercial crime, compliance, regulatory, and/or banking) is highly preferred.
- Relevant professional credentials (i.e. CFE, CPA, CFA, etc.) would be an asset.
- Experience working in a team environment where professionalism, confidentiality, problem solving, critical thinking skills and flexibility are required.
- The ability to be agile, creative and solve problems in a fast-paced, dynamic work environment.
- Excellent communication skills, including strong report-writing.



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- Confidence to present findings and having the ability to remain calm under stressful conditions.

**NOTE:** *The successful candidate will be required to undergo an Enhanced Security Screening prior to commencement of position.*

**To apply:**

Visit our website to submit your resume, cover letter and salary expectations by June 18, 2021. You will be contacted if you are selected for an interview. More information about working at the ASC including our comprehensive Total Rewards package can be found on our website at [www.albertasecurities.com](http://www.albertasecurities.com).