

Job Title: Manager, Policy & Regulatory
Reports To: SVP, Legal, Policy & Corporate Secretary
Department: Legal, Policy and Corporate Secretarial

JOB PURPOSE

The Legal, Policy, and Corporate Secretarial department is responsible for the corporate secretarial duties, communications initiatives, and policy-related matters of the Canadian Investor Protection Fund (CIPF). Reporting to the SVP, Legal, Policy, & Corporate Secretary, this position is responsible for supporting the goals and objectives of the department, with key responsibilities focused on policy initiatives and regulatory matters.

DUTIES AND RESPONSIBILITIES

Legal Advice and External legal relationships

- Provide legal advice, as needed and as requested, either directly or by engaging with external counsel.
- Support the sourcing and managing of external legal firm relationships
 - i. This can include selecting, retaining and managing outside counsel, as required, to obtain legal opinions, review staff recommendations, draft documents, or handle claims and litigation (other than HR-related legal issues)

Regulatory Compliance and Reporting

- Responsible for CIPF's compliance with reporting obligations and submissions for CSA review/approval under CIPF's Approval Orders.
- Responsible for reporting CIPF's obligations under the Canada Not-For-Profit Corporations Act to Innovation, Science and Economic Development Canada (ISED).
- Monitor domestic and international legal and regulatory developments that could impact CIPF, for example: CSA, BIA and CIRO initiatives, and developments at comparable protection funds. This includes formalizing the monitoring process.

Policy Initiatives

- Advise on general coverage and disclosure-related policy issues, including interpretations and initiatives related to the CIPF Coverage Policy and Disclosure Policy.
- Support insolvencies in the interpretation of coverage and in the execution of the Claims Procedures.

- Maintain and update (as necessary) Coverage Policy, Disclosure Policy, and Claims Procedures, as well as relevant disclosure documents. Recommend changes, where appropriate and ensure that proper approvals are obtained by the CEO/Board, and that internal/external communications are implemented as needed.
- Research and review various topics and policy developments that may have an impact on CIPF coverage, including new products and services offered by member firms.
- Draft Board and Committee meeting materials on various policy initiatives and projects, including agendas and speaking notes, in coordination with Officers and staff.
- As part of the Legal, Policy and Corporate Secretariat team, support the Board and Board Committees as needed including advising on mandates, workplans, materials and agendas and on governance matters.
- Support the day-to-day identification and mitigation of risks to the organization in the areas of responsibility for the Legal, Policy and Corporate Secretarial department, including the documentation of relevant risks, controls, and any action plans and reporting thereon in accordance with the Enterprise Risk Management Framework program requirements.

Other

- Responsible for the retention and destruction of physical and electronic files for administrative, financial, legal, and historical purposes.
- Instruct students on various tasks.
- Attend and participate in Business Continuity Planning workshops for the department and prepare and maintain documents regarding same.
- Attend various conferences and seminars to strengthen knowledge about matters that are relevant to CIPF, and to enhance skills generally.
- Ensure confidential documents, as identified by each Department, are handled in accordance with CIPF policies.
- Other duties, as assigned, including support on queries and insolvencies.

QUALIFICATIONS AND JOB REQUIREMENTS

- Post-secondary degree in business, or related areas.
- Law degree is preferred.
- Effective interpersonal and communication skills (written and verbal).
- Demonstrated strategic thinking, good judgement, and initiative.
- Strong project management skills.
- Professional experience in the financial sector, preferably in a legal or regulatory role.

KEY COMPETENCIES

The competencies listed below are critical to success in this role.

- Critical Thinking: Attributes: Creative problem-solving skills, intellectual curiosity, and an open mind.
- Planning: Attributes: Prioritizing work and keeping manager informed of any obstacles that could result in delays.
- Positive Attitude: Attributes: Adaptability and coachability.
- Teamwork: Attributes: Sharing of information and collaboration.

WORKING CONDITIONS

- This position is set in an office environment.
- The standard workweek for this position is 35 hours.
- The standard business hours for this position are 9 am to 5 pm.
- Hours worked outside of the standard work schedule may be required.
- Fast-paced environment.
- Ergonomic: Sitting for long periods of time, exposure to computer/laptop/mobile device screens for long periods of time, repetitive hand/arm movement.