

# Equity Financial Trust

## Manager Investigations

**Job Location:** Toronto  
**Reports to:** Chief Compliance Officer  
**Department:** Compliance  
**Employment Type:** Permanent Full-Time

### Company Overview:

Equity Financial Holdings Inc. is a publicly traded Canadian financial services company serving the alternative residential mortgage market through its OSFI-regulated wholly-owned subsidiary Equity Financial Trust Company. At Equity, we strongly believe our success is based on one singular factor – our people.

### Overview of Position & Job Responsibilities:

Reporting to the Chief Compliance Officer, the Manager Investigations is, in partnership with the other members of the Compliance team, responsible for conducting detailed investigations, reporting and training on instances of internal and external fraud identified through our AML programs or other business processes.

The position will be responsible for:

- Conducting detailed investigations into instances of suspected internal or external fraud. The incumbent may also be asked to look into other matters where investigative and analytical experience are a requirement i.e. privacy breaches, consumer complaints etc.
- Preparing case files and maintaining appropriate records of all investigations conducted including descriptions of the incident, evidence collected, conclusions reached and actions taken.
- Preparing recommendations for senior management on changes to operating practices and procedures to mitigate the risk identified through investigative findings.
- Developing and delivering educational and training materials for employees and directors to ensure ongoing awareness of the fraud risks and mitigation strategies in response to evolving fraud activities.
- Developing intelligence on fraud trends from findings and outside sources to effectively design, implement and validate strategies to detect and manage fraud risk.
- Prepare reports for senior management and the board on instances of fraud and fraud exposures with recommendations to reduce or eliminate fraud within the company
- Liaising with internal and external parties, regulators, law enforcement, legal counsel etc., to coordinate activities where instances of fraud are confirmed.
- Providing direct operational oversight and direction for detecting, preventing and mitigating the risk of fraud across the company.
- Managing the development and performance monitoring of fraud prevention and detection systems and processes within the organization.
- Partnering with internal stakeholders and providing expert advice on fraud risks to project stakeholders involved in the development of new products, services and systems.
- Conducting quantitative and qualitative assessments of anti-fraud measures and make recommendations to senior management regarding enhancements to system of internal controls.

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- Completes other duties and projects as may be assigned from time to time including, but not limited to, acting as back-up to colleagues.

## **Qualifications & Attributes:**

The successful candidate will have:

- 5-7 years' experience in the financial services or banking industry preferably in the federally regulated sector in forensic investigations, internal audit or compliance
- A university degree in criminal investigations, law, business or equivalent combination of education & experience
- Recognized designation in forensic investigations
- Knowledge of Anti-Money Laundering/Anti-Terrorist Financing requirements
- Proven investigative and analytical skills and experience with compliance investigations with particular emphasis on financial fraud and AML requirements
- Detail oriented
- Able to work with data and figures including advanced knowledge of MS Excel
- Excellent written and verbal communication skills
- Team player with ability to influence and mentor others
- Ability to work under pressure and at times in ambiguous circumstances