

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 responsible for conducting detailed investigations and reporting on suspicious AML transaction, internal and external fraud, customer complaints and privacy breaches.

The position will be responsible for:

- Conducting detailed investigations of:
 - unusual transaction reports for evidence of suspicious AML activity and making recommendations on whether they should or should not be reported to regulatory authorities;
 - instances of suspected internal or external fraud;
 - consumer complaints and privacy breaches if they should occur; and
 - other matters where investigative and analytical skills are required involving compliance.
- Developing intelligence and awareness of evolving patterns of behaviour and risks arising from investigative findings and external sources and conducting follow-up investigations and analysis where warranted.
- Preparing case files and maintaining appropriate records of all investigations conducted including descriptions of the incident, evidence collected, conclusions reached and actions taken.
- Partnering with internal stakeholders and providing expert advice on measures to identify and mitigate the risks identified through your investigations.
- 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 evolving risks and risk mitigation strategies.
- Preparing reports for senior management and the board on investigative findings, their status and actions taken to mitigate or eliminate the risks in the future.
- Providing support to Risk Management in executing their oversight of the Company's enterprise wide fraud risk management program.
- Liaising with internal and external parties, regulators, law enforcement, legal counsel etc., to coordinate activities where instances of fraud are confirmed.
- Conducting quantitative and qualitative assessments of risk mitigation measures and preparing recommendations to senior management regarding enhancements to the system of internal controls.

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- Completing other duties 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:

- 3-5 years' experience in the financial services or banking industry preferably in the federally regulated sector in compliance, internal audit or investigations
- A university degree in finance, business or accounting or equivalent combination of education & experience and professional designation
- Knowledge of Anti-Money Laundering/Anti-Terrorist Financing requirements and investigative techniques
- Proven investigative and analytical skills and experience with compliance investigations with emphasis in AML and financial fraud
- Knowledge of mortgage products preferred
- Experience in a Federally Regulated Financial Institution strongly preferred
- 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