



POSITION TITLE: Investigator, FP Canada Standards Council®

REPORTS TO: Director, Professional Standards and Enforcement, FP Canada Standards Council (the “Director”)

LOCATION: Toronto, Ontario

1. POSITION OVERVIEW

This position is responsible for the effective investigation of complaints involving alleged violation of the FP Canada Standards Council® *Standards of Professional Responsibility*.

Working closely with the Director, the Investigator is responsible for the fair and timely investigation and disposition of allegations relating to the conduct of FP Canada® Certificants and other matters assigned to the Investigator by the Director. The Investigator is accountable for the file review, risk assessment and caseload management of instructed investigations to ensure the timely and fair disposition of investigations. The Investigator is responsible for the preparation of investigation reports for the Conduct Review Panel and for attending before the Conduct Review Panel to present the results of the investigation. The Investigator is further responsible for identifying potential violations of the FP Canada Standards Council: Fitness Standards, Rules of Conduct and Code of Ethics; and the FP Canada Marks Use Guide.

2. KEY RESPONSIBILITIES

- Implement consistent, fair and sound investigation practices in accordance with the Disciplinary Rules and Procedures, Disciplinary Procedures for Examination Candidate Misconduct and the department policy and procedure manual.
- Prepare investigation reports for presentation to Conduct Review Panel and present investigation findings to the Conduct Review Panel.

Maintain complete and accurate electronic and paper records and assist in the preparation of disclosure to the FP Canada Certificant, as necessary.

- Identify issues requiring the Director’s attention and action including: additional or new potential violations of the *Standards of Professional Responsibility* and Marks Use Guide; and issues involving potential risk to the public or the FP Canada Standard Council’s and FP Canada’s reputation as a professional-oversight body.
- Support the Director in connection with the preparation of matters for review by the Conduct Review Panel, FP Canada Discipline Hearing Panel and FP Canada Appeal Panel.

- Prepare affidavit evidence and appear as witness before the Hearing Panel and Appeal Panel, as required and support legal counsel in the preparation of matters for the Hearing Panel and Appeal Panel.

3. REQUIRED QUALIFICATIONS:

- A professional degree or certification (CFP®; LL.B./J.D. or CPA preferred)
- Investigative & Forensic Accounting (DIFA) diploma or Certified Forensic Investigator (CFI) certification considered assets
- Successful completion of the Canadian Securities Course is considered an asset
- Experience of 5 or more years conducting investigations in a regulatory/administrative context
- Familiarity with the financial services industry, securities, insurance, tax, investments, estate or other financial planning related matters is an asset
- Experience developing and executing investigation plans, conducting interviews and preparing investigation reports. Experience testifying as a witness is an asset

4. COMPETENCIES

- Strong investigative, research and information-gathering skills
- Excellent analytical abilities
- Clear, concise and articulate oral and written communication skills
- Strong presentation skills
- Exceptional organizational, prioritization and co-ordination skills
- Ability to convey information in a factual, unbiased and timely manner
- Diplomacy, good judgement, confidentiality and ability to handle sensitive and complex matters in a calm, professional and objective manner are key
- Strong inter-personal skills with ability to work both independently and collaboratively
- Familiarity with principles of administrative law and strong commitment to conducting investigations in a fair, consistent and reasoned manner

Please send your resume with cover letter to Tamara Center, Director, Professional Conduct and Enforcement, FP Canada Standards Council at tcenter@fpcanada.ca by **June 26, 2020**. While we sincerely appreciate all applications, only those candidates selected for an interview will be contacted.