

# ASSOCIATE INVESTIGATOR OR INVESTIGATOR, FP CANADA STANDARDS COUNCIL™

## Two (2) positions:

- **1 Full-time Permanent Position**
- **1 Full-time Contract Position – 15 months, with potential extension**

## Position Overview

These positions are 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, Professional Standards and Enforcement, (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 also 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.

## Key Responsibilities

In this role, you will:

- 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.

## Required Qualifications

The ideal candidate will have the following skills and experience:

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

## Competencies

The ideal candidate will have the following skills and experience:

- Strong investigative, research and information-gathering skills
- Excellent analytical abilities and strong presentation skills
- Clear, concise and articulate oral and written communication 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

## About FP Canada

Established in 1995, FP Canada is a national not-for-profit education, certification and professional oversight organization working in the public interest. FP Canada is dedicated to championing better financial wellness for all Canadians by leading the advancement of professional financial planning in Canada. Learn more at [FPCanada.ca](https://www.FPCanada.ca).

## Working with FP Canada

We're [FP Canada](https://www.FPCanada.ca), a team of passionate and progressive professionals. FP Canada employs over 55 people, and our office is located in downtown Toronto. This is a full-time position working 5 days per week, during core business hours, with some flexibility required. We offer a hybrid-work model, requiring at a minimum, two days a week (40%) on average, of employees' time be spent in the office.

We are committed to wellness and a healthy work environment for our employees. You will earn a highly competitive annual salary, generous paid vacation and personal time, and you will enjoy our comprehensive employee benefits, RRSP matching program, professional development opportunities, flexible work arrangements and regular social events.

We are service-oriented, principled, and driven to make a societal impact, and we strive for and demand excellence, integrity, and respect from each other as well as our external stakeholders. We value collaboration and flexibility, and together have created a collegial and positive work environment.

## Our Commitment to Inclusion and Diversity

FP Canada values inclusion and diversity, and different perspectives and experiences; and we are committed to working towards an inclusive and diverse organization, reflective of Canada's population. We encourage candidates who identify in traditionally underrepresented communities (women, racialized persons, indigenous persons, LGBTQ2S+ and persons with disabilities) to apply.

## Our Commitment to Accessibility

FP Canada is committed to ensuring equal access and participation for people with disabilities in accordance with the *Ontario Human Rights Code (OHRC)* and the *Accessibility for Ontarians with Disabilities Act (AODA)*. FP Canada will provide accommodation on request throughout the recruitment, selection and/or assessment process for applicants

with disabilities. If you require accommodation, please inform our Human Resources Department at [careers@fpcanada.ca](mailto:careers@fpcanada.ca).

## Salary

Salary based on experience, ranging from \$75,000 to \$95,000.

## How to apply

To apply, please submit your application to [careers@fpcanada.ca](mailto:careers@fpcanada.ca) and note the position title in the subject line. Applications will be accepted until **November 8, 2024**.

We wish to thank all applicants for their interest and advise that only those selected for an interview will be contacted.