



STAFF RECRUITMENT

Trinidad and Tobago Securities and Exchange Commission (“the Commission”) invites applications for the following permanent position:

DIRECTOR, COMPLIANCE & INSPECTIONS IN THE COMPLIANCE AND INSPECTIONS DIVISION

A. Job Summary

The incumbent will be required to direct and oversee all operations of the Division and its staff, in the conduct of its compliance review programme onsite inspections, as well as off-site supervision, in accordance with all relevant legislative provisions and the risk-based supervisory model.

The incumbent will also ensure that the instances of non-compliance with the relevant pieces of legislation are appropriately addressed by the Commission.

B. Responsibilities / Accountabilities

- Develops the Division’s strategic direction, and implements operational/ work plans.
- Provides direction and monitors the progress of the Division’s staff by assigning and supervising completion of designated projects/ tasks and implementing practices to improve quality work standards to increase productivity.
- Maintains direct oversight of the Division’s inspections and compliance programs established under the Securities Act (“the Act”) and other ancillary legislation.
- Develops rules, policies and makes recommendations to the CEO, for legislative amendments to keep pace with new developments in the market place.
- Recommends changes, where relevant, in policy/ guidance issued by the Commission in light of general risks assessed during reviews.
- Advises the Chief Executive Officer of any contravention of the Act by a registrant or self-regulatory organisation (SRO) and recommends the issue of a compliance direction.

- Conducts Performance Appraisals for all job functions in the division, including where applicable, any members of internally established committees, for which the Director is responsible.
- Develops training plan/ budget, with recommendations for training and development of all positions under purview, including positions related to Committee involvement (where applicable).
- Performing other related duties as assigned.

C. Authorities

The incumbent in this position has the authority to:-

1. Track and review performance measurements and operational results.
2. Interpret and apply corporate policies and procedures in day-to-day operations in order to achieve assigned goals, objectives and targets.
3. Discharge those human resource management functions required of managers i.e. measuring and monitoring performance and taking corrective action including providing performance feedback and coaching and taking disciplinary action.
4. Participate in the implementation of corporate human resource management decisions by making recommendations regarding hiring, transfers, terminations, recognition and compensation.
5. Decide to resolve or escalate challenges through proper channels.
6. Manage quality and work towards continuous improvement of existing processes within the Division.
7. Ensure cost effectiveness of all activities and to continuously seek cost-reduction initiatives.
8. Ensure a culture of safety throughout the Division by adhering to health and safety policies and procedures.

D. Minimum Qualifications and Experience

- Bachelor's Degree in Economics, Law, Accounting, Finance or a related discipline.
- Post-Graduate qualification/s in Economics/Law/Accounting/Finance or a related discipline.
- Seven (7) years' working experience in the Financial Services Industry/ Government Financial Regulatory Agency or with a Stock Exchange.
- Five (5) years' experience in a supervisory/ management position.

E. Competencies

Technical Competencies:

- Clear understanding of legal guidelines, principles and framework that govern operations within the securities market.
- Clear understanding of finance and securities system and principles.
- In-depth understanding of compliance and risk management; structure of regulatory bodies such as accounting and corporate law.
- Planning, organizing and budgeting.
- Leadership skills.
- Conflict management and negotiating skills.
- Excellent communication and presentation skills.
- Proficiency in Microsoft Office Suite.

Behavioural Competencies:

- Integrity
- Ethical
- Team leadership
- Customer Orientation
- Achievement Orientation
- Strategic Orientation
- Analytical and Conceptual Thinking
- Impact and Influence
- Relationship Building

F. Key Contacts

- Internal: Management Team and all Heads of Division
- External: Government Ministries and Departments; other local financial service Regulators; The Trinidad and Tobago Stock Exchange, the Central Depository Ltd; Brokerage Companies/ Market Actors and Reporting Issuers; other regional and international Securities' Regulators and any other organisation or entity with whom and association will advance the work of the Commission.

All applications should be forwarded under confidential cover and addressed as follows:

Vacancy – Director, Compliance and Inspections

Director, Human Resources

Trinidad and Tobago Securities and Exchange Commission
Levels 22-23, Tower D
International Waterfront Centre
1 Wrightson Road
Port-of-Spain

Email address: vacancies@ttsec.org.tt

Applications should arrive no later than April 7, 2026.

The Commission thanks you for your interest, however, only shortlisted candidates will be contacted. Please be advised that AI may be used in the recruitment process.