



## STAFF RECRUITMENT

Trinidad and Tobago Securities and Exchange Commission (“the Commission”) invites applications to fill the permanent position of:

### FINANCIAL RESEARCH OFFICER IN THE DISCLOSURE, REGISTRATION AND CORPORATE FINANCE (“DR&CF”) DIVISION

#### A. Job Summary

The Financial Research Officer contributes to the Commission’s objective in the development of the securities market while promoting investor protection by reviewing, analyzing and processing applications for registration of securities and registrants, as well as ongoing disclosure documents to ensure compliance with securities legislation, guidelines and policies.

#### B. Responsibilities / Accountabilities

- Review and analyses applications for registration of securities and registrants.
- Process applications for registration, de-registration and renewal of registration by:
  - liaising with applicants and registrants to resolve issues with applications;
  - liaising with internal stakeholders to assess and ensure compliance with existing legislation and guidelines; and
  - making recommendations to the Director – Disclosure, Registration and Corporate Finance.
- Monitor and track the submission of financial statements by reviewing the Commission’s databases and updating the Division’s repository of registrant and securities information.
- Review and analyse the submission of financial statements and other continuous disclosure documents required under the securities legislation.
- Monitor and recommend referral of matters to various divisions where appropriate.
- Monitor, review and where appropriate action all notifications submitted to the Commission by registrants or applicants for registration.
- Provide guidance to internal and external stakeholders on registration and disclosure related matters.
- Develop, undertake and collaborate on research projects on registration and disclosure matters to inform the decision-making process of the Division.
- Collaborate with other internal stakeholders to develop policies, guidelines or regulations by participating in cross-functional committees.
- Perform other job-related duties as requested by the Director, DR&CF/Senior Financial Research Officer.

### C. Minimum Qualifications and Experience

- Bachelor's Degree or equivalent in Finance, Accounting, Economics, Management or a related field.
- Two (2) years' relevant work experience in a regulatory or finance environment.
- Any other equivalent combination of education, training and experience will be considered.

### D. Competencies

Technical Competencies:	Behavioural Competencies:
<ul style="list-style-type: none"><li>• Knowledge of accounting principles, standards and procedures</li><li>• Knowledge of financial markets and financial instruments.</li><li>• Understanding the structure and operations of the securities market.</li><li>• Familiarity with key provisions of the Companies Act, Financial Institutions and Financial Intelligence Unit Act.</li><li>• Research skills.</li><li>• Written and oral communication skills.</li><li>• Proficiency in Microsoft Office Suite with a strong emphasis on Microsoft Word, Excel, PowerPoint and Outlook.</li></ul>	<ul style="list-style-type: none"><li>• Integrity</li><li>• Customer Orientation</li><li>• Initiative/Drive</li><li>• Teamwork/Cooperation</li><li>• Analytical Thinking</li><li>• Interpersonal Understanding</li><li>• Result Orientation</li></ul>

### E. Key Contacts

- Internal: All Divisional/ Departmental Heads
- External: As instructed by the Director, DR&CF or his/her designate

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

**Vacancy – Financial Research Officer (DR&CF)**

**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](mailto:vacancies@ttsec.org.tt)

**Applications should arrive no later than April 11, 2025**

*The Commission thanks you for your interest, however, only shortlisted applicants will be contacted.*