



STAFF RECRUITMENT

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

SENIOR FINANCIAL RESEARCH OFFICER IN THE MARKET, REGULATION AND SURVEILLANCE DIVISION (“MR&S”)

A. Job Summary

Perform and/or guide the review of activities/assignments to ensure registrants’ adherence to the Securities Act, 2012, its By-Laws, the Take-Over By Laws, 2005, relevant provisions of the Companies Act, 1995 and other applicable legislation and guidelines. Provide critical support to the Director in driving the achievement of the Division’s operational and strategic mandate.

B. Responsibilities / Accountabilities

- Assists the Director in activities relating to the oversight of registrants and other market actors to ensure compliance with the governing securities legislation;
- Conducts inquiries and assists the Director in overseeing inquiries into suspected market misconduct including illegal insider trading, market manipulation and the activities of brokerage houses;
- Conducts surveillance and monitors Financial Research Officers (“FROs”) in the conduct of surveillance of trading activities on the Trinidad and Tobago Stock Exchange for the purpose of identifying and reporting any suspicious activity;
- Analyses and prepares reports for the consideration of Management and the Board in respect of matters pertaining to self-regulatory organizations (“SROs”) including, but not limited to, SRO Rule changes, trading and settlement mechanisms and de-listings;
- Conducts inquiries into and reports on complaints received from investors who might be aggrieved by activities of registrants or non-registrants and makes appropriate recommendations for enforcement action (where necessary);
- Reviews all work prepared by FROs to ensure adequate quality and accuracy, and ensures that all matters for the attention of the FROs are actioned in a timely fashion;
- Reviews FROs trading reports and ensures follow-up action on flagged trades;
- Provides training and technical guidance to FROs and OJTs in the conduct of their assignments;
- Prepares reports on technical matters that fall under the Division’s purview for the consideration of Management and the Board;
- Leads or assists in the conduct of formal investigations as mandated by the Board;
- Leads or participates in research projects on rules, policies and regulations and provides recommendations, as applicable;
- Assists in the planning and execution of the Division’s strategic deliverables;
- Represents the Division on cross-functional projects and committees of the Commission; and
- Performs other related duties as required.

C. Minimum Qualifications and Experience

- Bachelor’s Degree in Finance/Accounting or related field.
- Postgraduate qualification in Finance / Management will be considered an asset.

- 5 years experience at a professional or supervisory level in a related field.
- Any other equivalent combination of education, training and experience.

D. Competencies

Technical Competencies:	Behavioural Competencies:
<ul style="list-style-type: none"> • Keen sense of observation and attention to detail • Excellent written and oral communication skills • Strong supervisory skills • Strong project planning and execution skills • Knowledge of domestic and international financial markets and instruments • Ability to interpret and analyse financial statements • Research skills • Ability to organize and prioritize work effectively • Clear understanding of the securities legislation, complementary laws and guidelines • Competent in Microsoft Office Suite 	<ul style="list-style-type: none"> • Integrity • Dependability • Emotionally Intelligent • Teamwork / Cooperation • Initiative / Drive • Customer Orientation • Achievement Orientation • Strategic Orientation • Analytical Thinking • Interpersonal Understanding • Relationship Building

E. Key Contacts

Internal Contacts	External Contacts
<ul style="list-style-type: none"> • Director, MR&S • Staff of MR&S • Disclosure, Registration and Corporate Finance Division • Legal Division • Compliance and Inspections Division • Information Management Division • Records Management Unit • Library 	<ul style="list-style-type: none"> • Trinidad and Tobago Stock Exchange Limited • Trinidad and Tobago Central Depository • Central Bank of Trinidad and Tobago • Other regulatory bodies • Market actors • Investing public

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

Vacancy – Senior Financial Research Officer (MR&S)

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 August 3, 2022

Only shortlisted candidates will be contacted