



IDENTIFICATION

Department	Position Title	
Justice	Paralegal Team Lead, Securities	
Position Number	Community	Division/Region
82-6806	Yellowknife	Legal Registries

PURPOSE OF THE POSITION

The Paralegal Team Lead supports the Office of the Superintendent of Securities with the review and approval of a wide variety of moderately complex legal documents submitted for registration under the *Securities Act, Regulations or Rules*, and is the Deputy Registrar responsible for the administration of the Notary Public and Commissioners for Oaths Programs, pursuant to the *Evidence Act*.

SCOPE

The Paralegal Team Lead reports to the Manager, Corporate and Securities Registries in Yellowknife and holds the statutory appointment of Deputy Superintendent of Securities under the *Securities Act*. The position supervises one Bilingual Paralegal Assistant. The Paralegal Team Lead's role is defined by legislation and delegated instructions, with precedents available for guidance. When in doubt, legal counsel is consulted.

The Team Lead assists the Superintendent with registering instruments and maintaining records. This position conducts the legal review of prospectuses, securities registrations, and other related documents to ensure compliance with the *Securities Act, Regulations, national Rules, and policies*. This involves examining documents of varying complexity for accuracy and adherence to statutory requirements and supervising reporting Paralegal.

The Team Lead responds to inquiries and provides public information to stakeholders, including registrants, other securities regulators, self-regulatory organizations, and members of the public. The incumbent will be required to respond to urgent requests from other Canadian securities/regulators, requiring immediate service.



This position is responsible for administering the Notaries Public and Commissioner for Oaths Program pursuant to the *Evidence Act*. This involves:

- Working with the public to explain the details of the program.
- Handling license applications.
- Handling complaints about a notary for misconduct or negligence.
- Determining suitability for appointments.
- Making recommendations to the Minister.
- Maintaining the registry.

As legal staff, the Team Lead is a representative of the Registrar and must be reliable to maintain the confidence of the office. The position oversees the enforcement of the statutory and registry requirements. The documents being reviewed are of varying complexity and the Team Lead must ensure the other Paralegals have carefully examined the documents to ensure the submissions meet statutory requirements and the common law.

RESPONSIBILITIES

1. The Team Lead will supervise Securities registrations and their associated processes under the direction of the Superintendent.

- The Team Lead is responsible for ensuring the registration process is completed while maintaining full accuracy within defined timelines.
- Verifies that the work of other staff was done accurately and in compliance with legislation.
- Review securities registrations including:
 - Assessing compliance with legislated requirements.
 - Advising filers of any deficiencies in the document submitted.
 - Communicating with other securities regulators, as necessary, to ensure submissions are dealt with in a timely and consistent manner.
 - Deciding whether filings should be accepted or not.
- Review the System from Electronic Disclosure of Insiders (SEDO), National Cease Trade Orders (“CTO”), and Disciplined List (“DL”) as required as part of review of filing and registration processes.
- Enforce compliance with continuing filing obligations of registered firms, including confirmation that firms have provided appropriate proof of bonding or insurance, annual financial statements, etc.
- Identify instances where a filing or application may require further review and bring it to the Manager’s attention

2. Assist with Securities administration in the Office of the Superintendent of Securities.

- Assist in maintaining filing system, databases, and electronic filing systems.
- Assist in training and mentoring new staff.



- Provide support to the Superintendent and Manager with enforcement matters.
- Confirm correct fees have been submitted, requesting additional fees or initiating refunds, as necessary.
- Reconcile incoming revenue and receipts for daily deposit.
- Keep statistics regarding workflow and volume.
- Undertake projects as assigned.

3. Administers the Notaries Public and Commissioner for Oaths Program.

- Manages the Commissioner for Oaths and Notary Public Program.
 - Provide direction to the Paralegals in respect of the review of applications, the examinations, the acceptance or rejection of applications, the appointment of candidates, and the maintenance of records.
 - Participate in the development of educational and disciplinary materials.
 - Revoke appointments as necessary.
 - Prepare and recommend appointments, renewals and revocations for the Minister's consideration and approval.
 - Handles complaints about a notary public or commissioner for oaths for misconduct or negligence.

4. Provide information to the public.

- Respond to enquiries regarding registration and filing requirements, policies and procedures from the public, the legal profession, other regulators, self-regulatory organizations, and government departments.
- Provide information to the public, the legal profession, and government departments in response to enquiries.
- Assist the Manager with investor education materials to be posted to the website or provided to the public by other means.
- Provide training, public education and information services to frequent users of the registry, paralegals and the public regarding registration standards and office policy.

WORKING CONDITIONS

Physical Demands

No unusual demands.

Environmental Conditions

No unusual demands.

Sensory Demands

No unusual demands.



Mental Demands

No unusual demands.

KNOWLEDGE, SKILLS AND ABILITIES

- Knowledge of and/or the ability to acquire and apply knowledge of securities, including the *Securities Act, Regulations* and extensive body of national *Rules*.
- Knowledge and skills relating to securities, financial investments, and financial services.
- Knowledge of and/or the ability to acquire and apply knowledge of computer and IT electronic registration and registry search systems, such as the use of specialized securities electronic applications (SEDAR+).
- Analytical and advanced problem-solving skills.
- Human relations, interpersonal and communication skills to provide customer service in a professional and courteous manner, and work with upset or frustrated customers.
- Attention to detail and ability to review and analyze legal documents.
- Ability to communicate both orally and in writing with the public, legal profession and stakeholders with clarity and tact.
- Requires financial skills to reconcile and verify payments and maintain statistics/business performance measures.
- Ability to work in a computerized office environment utilizing advanced word processing functions, database, and spreadsheet.
- Ability to supervise, motivate and train staff.
- Ability to work both independently and collaboratively in groups.
- Ability to commit to actively upholding and consistently practicing personal diversity, inclusion and cultural awareness, as well as safety and sensitivity approaches in the workplace.

Typically, the above qualifications would be attained by:

Grade 12, completion of post-secondary courses in securities regulation (i.e. Canadian Securities Institute) and two (2) years of relevant experience.

Equivalent combinations of education and experience will be considered.

ADDITIONAL REQUIREMENTS

Position Security (check one)

- No criminal records check required
- Position of Trust – criminal records check required



- Highly sensitive position – requires verification of identity and a criminal records check

French language (check one if applicable)

- French required (must identify required level below)

Level required for this Designated Position is:

ORAL EXPRESSION AND COMPREHENSION

Basic (B) Intermediate (I) Advanced (A)

READING COMPREHENSION:

Basic (B) Intermediate (I) Advanced (A)

WRITING SKILLS:

Basic (B) Intermediate (I) Advanced (A)

- French preferred

Indigenous language: Select language

- Required
- Preferred