



IDENTIFICATION

Department	Position Title	
Justice	Paralegal Team Lead	
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 administering the *Notary Public and Commissioners for Oaths Act*.

SCOPE

The Paralegal Team Lead reports to the Manager, Securities and Corporate Registries in Yellowknife and holds the statutory appointment of Deputy Superintendent of Securities under the *Securities Act*. As a representative of the Superintendent, this position requires reliability and maintains the confidence of the office. The Paralegal's role is defined by legislation and delegated instructions, with precedents available for guidance. When in doubt, legal counsel is consulted.

Key responsibilities of this position include the legal review of prospectuses, securities registration applications, 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.

The Paralegal also responds to inquiries and provides public information to stakeholders, including registrants, other securities regulators, self-regulatory organizations, and members of the public. Furthermore, this position is responsible for administering the *Notaries Public and Commissioner for Oaths Act / Evidence Act*.

The incumbent will be required to respond to urgent requests from other Canadian securities/regulators, which require immediate service.



RESPONSIBILITIES

1. Review Disclosure Filings.

- Review securities registrations including: Assessing compliance with legislated requirements;
 - Advise filers of any deficiencies in the document submitted;
 - Communicate with other securities regulators, as necessary, to ensure submissions are dealt with in a timely and consistent manner;
 - Decide 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. Provide Securities Information to the public.

- Respond to enquiries regarding registration and filing requirements, policies and procedures from the public, the legal profession, other Canadian securities 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.

3. 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 of 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.

4. Notaries Public and Commissioner for Oaths.

- Administer 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 appointments, renewals and revocations for the Minister.

WORKING CONDITIONS

Physical Demands

No unusual demands.

Environmental Conditions

No unusual conditions.

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*.
- 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+).
- 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.
- Ability to work in a computerized office environment utilizing advanced word processing functions, database, and spreadsheet.
- 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

- ☐ 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