



Alberta Securities Commission

The Alberta Securities Commission (ASC) plays a leading role in regulating the Canadian capital markets. We are looking for a skilled professional to join our Enforcement team as:

## **SECURITIES INVESTIGATOR, CASE ASSESSMENT** **(COMPETITION #2009.39-EX)**

Alberta has one of the largest and most dynamic capital markets in the country, which includes a world-class oil and gas industry. This position assesses reviews and investigates complaints and referrals of offences under the Alberta Securities Act. This opportunity will appeal to an individual who is interested in the securities industry, and enjoys working both independently and on a diverse team.

Reporting directly to the Manager, Case Assessment, key responsibilities of this position include: performing the initial intake of complaints and referrals related to market based activity. Conducting preliminary assessments and investigations related to insider trading and market manipulation. Preparing clearly written and concise preliminary investigation reports recommending courses of action, including more extensive investigation. This position will conduct extensive background enquiries with stock exchanges, Investment Dealers, Reporting Issuers and related individuals. This position will make the appropriate referrals and participate/provide evidence as a key lead witness during administrative hearings and court proceedings.

Ideal candidates will possess six to eight years of professional experience in the securities industry, preferably in compliance or a related area, and have completed the Canadian Securities Course and Conduct and Practices Handbook examination. Solid knowledge of the securities industry, securities law, trading systems and current trading practices are essential. Possessing a law degree, Chartered Financial Analyst, or accounting designation would be a strong asset but not required. The successful incumbent will have excellent analytical, verbal and written communication skills, along with the confidence to present findings.

If you are interested in this exciting opportunity, please send a detailed resume and covering letter (***including specific job title and competition #***) along with your salary expectations by February 14, 2010 to:

Alberta Securities Commission  
Attention: Human Resources  
4<sup>th</sup> Floor, 300 – 5<sup>th</sup> Avenue, SW  
Calgary, Alberta T2P 3C4  
Fax: 403.355.9040  
[www.albertasecurities.com](http://www.albertasecurities.com)  
[humanresources@asc.ca](mailto:humanresources@asc.ca)

**\*\*\*PLEASE REFERENCE THE SPECIFIC JOB TITLE & COMPETITION # IN COVER LETTER\*\*\***

THE ALBERTA SECURITIES COMMISSION IS THE REGULATORY AGENCY RESPONSIBLE FOR ADMINISTERING THE PROVINCE'S SECURITIES LAWS TO FOSTER A FAIR AND EFFICIENT CAPITAL MARKET IN ALBERTA AND TO PROTECT INVESTORS.