



## **STAFF RECRUITMENT**

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

### **LEAD COUNSEL, ENFORCEMENT**

#### **A. Job Summary**

The Lead Counsel, Enforcement is responsible for assisting the Commission in executing its enforcement function by providing investigative support and guidance in relation to breaches of the Securities Act. The incumbent manages the enforcement function in order to achieve outcomes that are designed to address securities related crimes and contraventions as well as improve, transparency, and efficiency.

#### **B. Responsibilities / Accountabilities**

- Leads/participates in the development of policies and procedures to enable efficient and effective processing of enforcement matters.
- Advises the Commission on matters related to detection, investigation and prosecution as a result of contraventions of the Securities Act and other related legislation.
- Leads the investigation process by undertaking timely, targeted intelligence gathering and proactive enforcement activities into suspected market crimes and misconduct.
- Interviews relevant persons, gather documents, analyse evidence and work with the legal team to prepare cases for enforcement proceedings.
- Collates and analyses data to identify patterns, trends, anomalies or systemic issues in enforcement matters.
- Conducts risk assessment of enforcement processes.
- Prepares papers/reports for the Board.
- Represents the Commission on national, regional and international committees.
- Collaborates with internal and external attorneys-at-law when conducting highly complex enforcement matters to ensure all legal issues are analysed and addressed.
- Implements processes and procedures to improve quality work standards to enhance productivity within the enforcement function.
- Provides in house training on trends, technologies/techniques in investigations.
- Reviews and recommends changes to the securities legislation to ensure effective processing of enforcement matters.

- Assists the relevant authorities, in consultation with the General Counsel, with the prosecution at Civil or Criminal level matters relating to the contravention of the Securities Act.
- Assists the General Counsel in preparing the budget for the Legal Division.
- Assists the General Counsel in developing the Work Plan for the Enforcement function.
- Consults with the General Counsel in coordinating the assignment of work among staff.
- Assigns work related tasks to the Senior Legal Counsels (SLCs) and Legal Counsels (LCs) in consultation with the General Counsel.
- Assists the General Counsel with the review of work performed/prepared by the SLCs and LCs.
- Participates in the performance management process of staff.
- Performs other related duties as required.

### C. Qualifications and Experience

- Bachelor of Law Degree or equivalent from a recognized Institution.
- Legal Education Certificate or equivalent from a recognized Institution.
- Admission to practice law in Trinidad and Tobago.
- At least ten (10) years' experience with increasing responsibility in fraud/white collar crime investigations.
- Any relevant combination of qualifications, training and experience will be considered.

### D. Competencies

<b>Technical Competencies:</b>	<b>Behavioural Competencies:</b>
<ul style="list-style-type: none"> <li>• Considerable knowledge of the securities market</li> <li>• Excellent investigative and analytical skills</li> <li>• Ability to understand and interpret financial statements and transactions</li> <li>• Strong planning and organisation skills</li> <li>• Excellent oral and written communications skills</li> <li>• Strong presentation skills</li> <li>• Proficiency in the Microsoft Suite</li> <li>• Strong leadership skills</li> </ul>	<ul style="list-style-type: none"> <li>• Integrity</li> <li>• Ethics</li> <li>• Inquisitiveness</li> <li>• Team Leadership</li> <li>• Customer Orientation</li> <li>• Achievement Orientation</li> <li>• Strategic Orientation</li> <li>• Analytical and Conceptual Thinking</li> <li>• Impact and Influence</li> <li>• Relationship Building</li> </ul>

## **E. Key Contacts**

- Internal: Executive Management, Board of Commissioners, Divisional/Departmental Heads, Records Management Unit.
- External: Office of the Attorney General, Financial Intelligence Unit, Fraud Squad Unit, Director of Public Prosecutions, Ministry of Finance, External Counsels and other relevant local and foreign regulators and institutions.

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

### **Vacancy – Lead Counsel, Enforcement**

#### **The Chief Executive Officer**

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 November 6, 2024**

*The Commission thanks everyone for your interest, however, only shortlisted candidates will be contacted.*