

Job Description

Trust Compliance Auditor

Nature of Work

Reporting to the Executive Director, the position supports the Law Society's mandate to regulate the legal profession and the practice of law, in the public interest, through trust compliance. In consultation with the Director of Professional Responsibility, the Trust Compliance Auditor plans, organizes, leads, and manages the Trust Audit Program in accordance with the Law Society Act, 1999, the Rules, the Code of Professional Conduct and consistent with Law Society standards, policies, and procedures.

Key Responsibilities

- Manage the Trust Audit Program including research, development, and formulation of policies, procedures, and standards for Benchers' approval; and evaluation of policies, procedures, and standards to ensure the Law Society's regulatory mandate is met.
- Conduct audits and investigations in accordance with the Law Society Act, 1999, the Rules, and Law Society standards, policies, and procedures.
- Conduct investigations on behalf of the Complaints Authorization Committee.
- Analyze, interpret, and summarize complex financial and business matters; compile financial evidence; utilize computer applications to manage the information collected; communicate findings in the form of reports or presentations; testify in court providing information to support trial evidence, and participate in dispute resolution as required.
- Provide guidance and general information to members and the public related to trust compliance, including the applicable rules, standards, and resources.
- Assist with member education in trust compliance and ensure that members have access to relevant trust compliance resources.
- Instruct at the Bar Admission Course in trust compliance.
- Research, analyze, and provide best practice advice and support to the Executive Director, Benchers, and committees established by the governing body with respect to any and all related Law Society matters.
- Represent the Law Society with various stakeholders including members, the public, and national committees, as required.
- Respond to requests for information regarding trust compliance from other regulatory bodies.
- Maintain trust compliance records and ensure the safeguarding of all printed and electronic material, records, and files in accordance with access to information and privacy protocol and legislation.
- Travel across Newfoundland and Labrador to conduct the Trust Audit Program.

- Other duties as assigned by the Executive Director.

Qualifications

- The incumbent must be a member in good standing with the Association of Chartered Professional Accountants of Newfoundland and Labrador or eligible for membership in good standing.
- The incumbent should possess progressive audit experience.
- Strong knowledge of the Law Society's Trust Account Rules is considered an asset.
- Training in fraud-related courses, a CFE, CIA, or CAMS designation are considered assets.
- Education and experience in Alternate Dispute Resolution (ADR) is an asset.

Competencies

- Thorough knowledge of trust audit principles and procedures.
- Knowledge of money laundering and terrorist financing considerations.
- Knowledge of the legal profession, the Law Society Act 1999, and the Law Society Rules.
- Ability to think strategically and creatively.
- Ability to communicate effectively to build relationships with a variety of stakeholders.
- Ability to ensure professionalism, diplomacy, and confidentiality.
- Demonstrated investigative, analytical, problem-solving, advisory, decision-making, planning, and organizational skills.
- Demonstrated writing ability.
- Demonstrated computer proficiency.

Executive Director

Effective Date: 2022