

CHIEF COMPLIANCE OFFICER (CCO) COMPETENCY PROFILE

The following is the competency profile for a highly competent and compliant CCO from a regulatory perspective. It captures the general knowledge they need to understand and the behaviours and skills they need to apply to support their leadership position within the dealer through their responsibility, accountability and authority. The required knowledge is dictated by the responsibilities and accountabilities of the role, which are both defined by and informed by the authority of the CCO. Please refer to [Appendix 7](#) to review the reference document for the CCO competency profile.



CCOs are also Executives. The Executive competency profile also applies to the CCOs and should be referred to additionally. Please refer to [Appendix 6](#) to view the competencies applicable to all Executives.

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1. Compliance Function and Operations

Understand and apply the following as applicable

- I. Fundamental regulatory and industry knowledge
- II. Role, mandate and oversight of the compliance department

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2. Risk Management

Understand and apply the following as applicable:

- I. Compliance risk management
- II. Business functions and compliance risk

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3. Regulatory Reporting, Examinations, Investigations and Actions

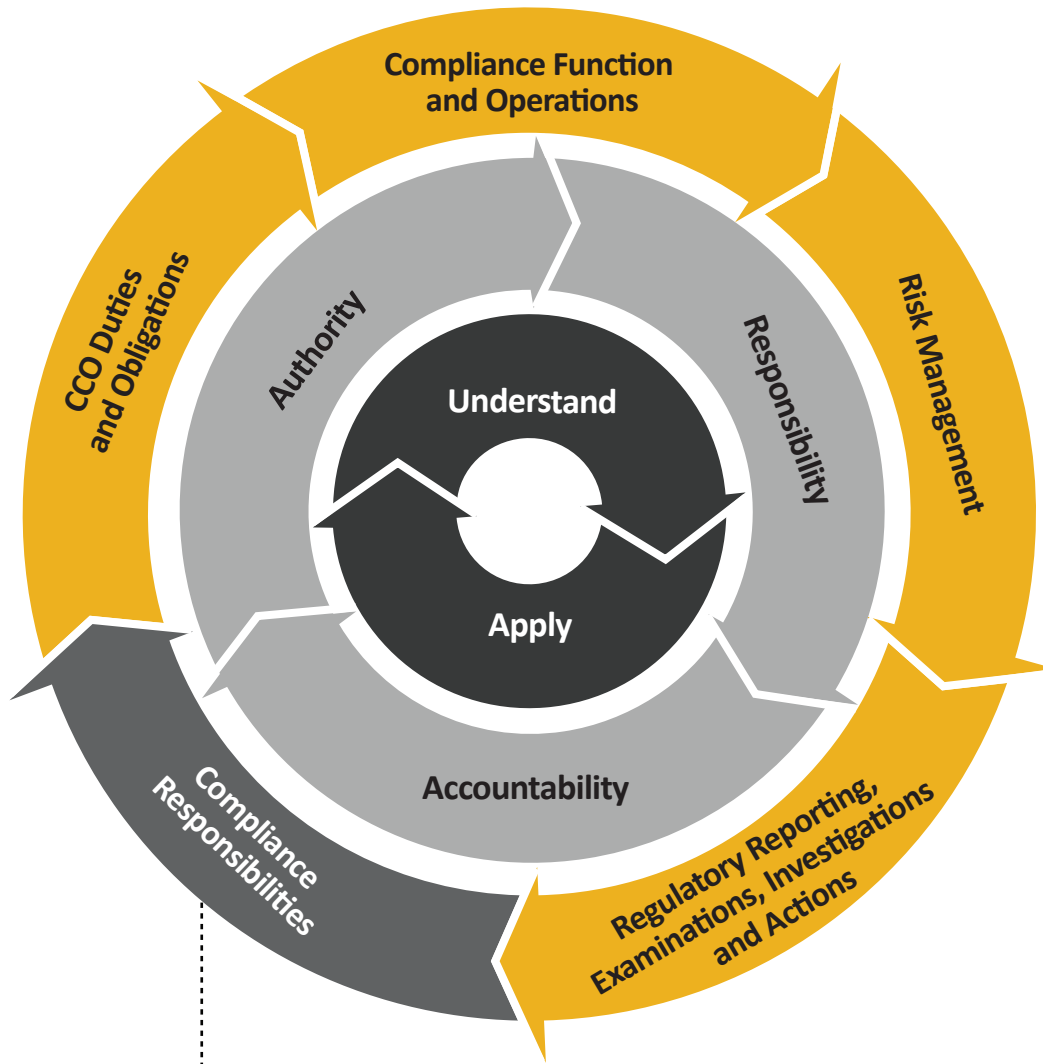
Understand and apply the following as applicable:

- I. Regulatory reporting
- II. Regulatory examinations
- III. Regulatory investigations
- IV. Regulatory action

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4. Compliance Responsibilities

Understand and apply the following as applicable:

- I. Policies and Procedures (P&P)
- II. Complaint handling
- III. Dealing with clients

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5. CCO Duties and Obligations

Understand and apply the following as applicable:

- I. Monitoring and assessing compliance
- II. UDP and annual board compliance reporting

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