

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, behaviours and skills they need to have and 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 and informed by the authority of the CCO.

Please refer to [Appendix 14](#) 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 4](#) to view the competencies applicable to all Executives.

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, behaviours and skills they need to have and 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 and informed by the authority of the CCO.

Please refer to Appendix 14 to review the reference document for the CCO competency profile.



1. Compliance Function and Operations

Understand and apply the following as applicable:

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

CCOs are also Executives. The Executive competency profile also applies to the CCOs and should be referred to additionally. Please refer to Appendix 4 to view the competencies applicable to all Executives.

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, behaviours and skills they need to have and 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 and informed by the authority of the CCO.

Please refer to Appendix 14 to review the reference document for the CCO competency profile.



2. Risk Management

Understand and apply the following as applicable:

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

CCOs are also Executives. The Executive competency profile also applies to the CCOs and should be referred to additionally. Please refer to Appendix 4 to view the competencies applicable to all Executives.

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, behaviours and skills they need to have and 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 and informed by the authority of the CCO.

Please refer to Appendix 14 to review the reference document for the CCO competency profile.



3. Regulatory Reporting, Examinations, Investigations and Actions

Understand and apply the following as applicable:

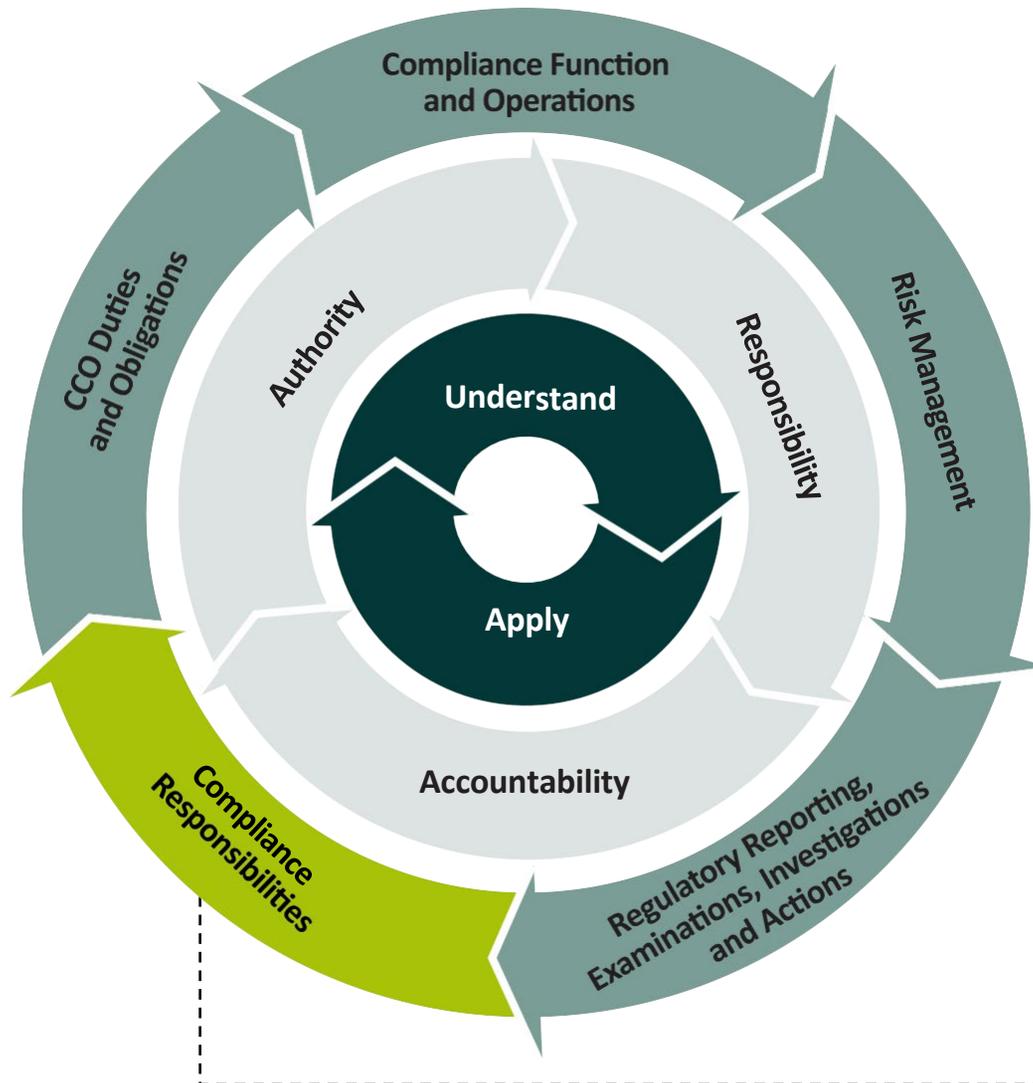
- I. Regulatory reporting
- II. Regulatory examinations
- III. Regulatory investigations
- IV. Regulatory action

CCOs are also Executives. The Executive competency profile also applies to the CCOs and should be referred to additionally. Please refer to Appendix 4 to view the competencies applicable to all Executives.

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, behaviours and skills they need to have and 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 and informed by the authority of the CCO.

Please refer to Appendix 14 to review the reference document for the CCO competency profile.



4. Compliance Responsibilities

Understand and apply the following as applicable:

- I. Policies and Procedures (P&Ps)
- II. Internal investigation and client complaint handling
- III. Dealing with clients

CCOs are also Executives. The Executive competency profile also applies to the CCOs and should be referred to additionally. Please refer to Appendix 4 to view the competencies applicable to all Executives.

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, behaviours and skills they need to have and 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 and informed by the authority of the CCO.

Please refer to Appendix 14 to review the reference document for the CCO competency profile.



5. CCO Duties and Obligations

Understand and apply the following as applicable:

- I. Compliance monitoring and assessment of compliance
- II. Compliance reporting

CCOs are also Executives. The Executive competency profile also applies to the CCOs and should be referred to additionally. Please refer to Appendix 4 to view the competencies applicable to all Executives.