

Position Title **Compliance Officer**

Location Toronto

Reporting To Manager – Trade Surveillance

Position Overview

The Compliance Officer is a resource for employees and other industry related professionals regarding industry regulations that must be adhered to within the firm. The primary responsibilities will be geared towards retail compliance including; responding to queries of the Investment Advisors, Branches and other departments.

Duties and Responsibilities

- Conduct Daily and Monthly Tier 2 reviews; inquire and escalate issues when appropriate
- Conduct Option trade reviews when required
- Provide guidance and support to advisors/branch office staff regarding compliance policies and procedures
- Effectively communicate concerns or requirements
- Review and approve third party cheques and certificate requests (e.g. issuances or deposits)
- Review employee Outside Business Activity
- Conduct e-mail supervision
- Participate in Branch Audit Program
- Participate in special projects as required

Qualifications

- Excellent written and oral skills
- 2 years in a compliance role with an investment dealer or 5 years related experience within the financial industry
- Service oriented with an ability to remain professional under pressure
- Sound judgment and integrity
- Understanding of branch audit requirements.
- Ability to think and act proactively
- Self-motivated and interested in ongoing learning and professional development
- Proficient with Dataphile is an asset
- Proficient with Microsoft Office Suite

Education

- Post-secondary degree
- The completion of the Canadian Securities Course (CSC), Conduct and Practices Handbook Course (CPH)
- Options Licensing Course an asset