



Haywood is currently recruiting for a **Compliance Officer** to join its team. Reporting to the Vice President of Compliance and the Manager of Compliance, the successful candidate will be able to demonstrate their commitment to providing exceptional customer/client service, attention to detail and a willingness to take on new responsibilities and challenges as they arise.

Responsibilities include:

- Performance of daily and monthly trade and account supervision for compliance with regulatory requirements;
- Performance of alternative front-line compliance/supervisory tasks as directed by the Manager of Compliance and/or the V.P. of Compliance;
- Provide support to Credit Manager and Credit Officer for daily and weekly credit supervision and oversight of movements of money, as required.
- Identify, review and assess potential trade and account concerns to determine if circumstances warrant further action, i.e. escalation to the Manager of Compliance and/or the V.P. of Compliance;
- Field internal broker and departmental compliance related inquiries, provide direction or guidance as necessary or escalate query to Manager of Compliance and/or the V.P. of Compliance;
- Ensure record maintenance of reviews conducted and actions taken;
- Provide administrative support to Manager of Compliance, V.P. of Compliance, or the CCO, as required;

Requirements:

- 1-2 years of industry experience, preferably in a compliance/credit capacity;
- Canadian Securities Course and Conduct and Practices Handbook completion is an asset;
- Working knowledge of applicable UMIR, IIROC, FINTRAC, FATCA, CRS and Securities Act requirements is an asset;
- Must be able to work well in a team environment, and have strong and effective communication skills;
- Ability to conduct critical analysis, make sound, reasoned, informed judgements and assessments while in a fast paced, multi-task environment;
- Excellent organizational and time-management skills, ability to prioritize;
- Strong attention to detail;
- Familiarity with the Microsoft Office suite of products with a focus on intermediate to advanced Excel skills; familiarity with vendor systems (Broadridge Dataphile, Thomson One, Fidessa) an asset;

If your background and experience is well suited to this role please submit your resume and cover letter to careers@haywood.com quoting position title in the subject line.

We would like to thank all candidates for their interest in this position however, only qualified candidates will be contacted