

**Career at a glance:**

*In depth career development*

*Team Based Leadership*

*Strong work life balance*

# Compliance, Finance & Operations Associates

# OUR FIRM

# Designed Securities Ltd. is a truly independent investment dealer, and member of the Investment Industry Regulatory Organization of Canada (IIROC). Our company is uniquely positioned to provide support driven by the needs of advisors. We design customized experiences for advisors and clients and have integrated Fintech that is based on real feedback, a culture of inclusion and progressive thinking. Our goal is to help evolve an advisor’s practice in light of Fintech, regulatory framework, and client needs. We are not controlled by any larger institutions and have the flexibility to serve our advisors and develop our staff in ways that are meaningful and long lasting. Staff are provided autonomy and authority to make decisions that drive the firm forward and we create an unmatched experience for our advisors. We are unique, motivated and designed to do great – at work and in life.

# CULTURE AND VALUES

We know that happy employees make all the difference in keeping advisors, and their clients, happy. Our culture is built on the pillars of inclusion, collaboration, accountability and self-awareness. What excites us is seeing a group of talented people drawing on each other’s strengths, taking responsibility for making things happen, and contributing their voices and ideas to continue to design who we are. We are incredibly ambitious as an organization and seek people who are excited to commit to this opportunity.

# DESIGN AS YOU GO

# Sometimes you don’t know exactly what you need to succeed, so we let you design your career as you go. If you need professional development, we will work with you. If you need a better office set up, we will work with you. Your input into how we operate is critical to making things happen the best way possible. Imagine being fully immersed in a space where you feel energized, focused and you enjoy your work!

# JOB DESCRIPTION

# As a close-knit team all roles are highly interactive with other individuals and functions within the firm. You can expect to be working alongside all staff including the executives of the company. This is a unique opportunity to join the organization from the ground floor and have impact on the developing values and corporate culture.

# The ideal candidate will be eager to contribute to the big picture of the company and will be motivated to learn, grow and engage with staff, partners and advisors. The candidate will be comfortable taking ownership of their role, interacting with various aspects of a dealer, and expanding their experiences outside of supervision in order to better integrate their role throughout the company. They will take the role seriously, and be attentive to detail while also allowing themselves to be challenged with new perspectives and approaches to assessing and managing risk.

# RESPONSIBILITIES

# All employees undergo departmental cross training, which is emphasized in the first few months of employment before responsibilities are narrowed. This provides exposure to other areas in which you may be interested in taking your career while also ensuring that you are aware of how your specific role interfaces and impacts other people or functions.

* Review and approve new clients accounts and account update requests, in accordance with rules and regulations,
* Assess trade suitability and perform Tier 1 or Tier 2 supervision as required,
* Interface with transitioning advisors to provide sales and compliance conduct guidance,
* Provide ongoing feedback to team members and executives on areas needing improvement,
* Interface with financial processes (e.g. commissions processing) for regulatory reporting purposes;
* Ensure standard operating procedures are followed and that day-to-day activities are meeting deadlines,
* Identify opportunities in compliance to streamline processes and find operational efficiencies,
* Engage in continuous learning and development to increase knowledge as a subject matter expert, and,
* Participate in cross-functional department reporting, audit and review projects.
* Focus on the financial processes that make the company ‘work’.

# KNOWLEDGE AND EXPERIENCE

# Regardless of experience, we provide specific training and ongoing development to all employees to ensure that knowledge and experience is applied consistently throughout the organization.

* Contemplating completion of securities and investment industry courses (CSC, CPH, BMC), or CFA designation,
* Critical thinker and skillful decision maker, adaptable in a changing regulatory environment,
* Excellent organizational skills, able to prioritize important and time-sensitive tasks,
* Ability to work efficiently and accurately in a fast-paced dynamic environment with a sharp eye for detail,
* Self-starter and continuous learner with the capacity to work independently, along with flexibility and willingness to assist others.

# This is an excellent opportunity to gain exposure to all aspects of an investment dealer and we are excited to hear from you. If this looks like the kind of role and company you’re up for, and you have the credentials and experience for this job, we invite you to submit a cover letter and resume to mkonopaski@designedsecurities.ca.

This posting will remain open until a qualified candidate is hired. We sincerely thank all applicants who express an interest in this and other opportunities we have posted. We will be in touch with individuals whose profiles most closely match what is needed to be successful in this role.

Designed Securities Ltd. is an equal employer, and we are dedicated to fostering an inclusive and barrier-free work environment for all employees and candidates. We encourage all qualified candidates to apply. If accommodation is required during any stage of the recruitment process, please let us know.