



JOB DESCRIPTION

JOB TITLE: Regional Compliance Officer
DEPARTMENT: Compliance, Worldsource Wealth Management (WWM)
LOCATION: Markham, Ontario (Hybrid)
REPORTING TO: Senior Director, Compliance

JOB STATEMENT:

The Regional Compliance Officer ("RCO") will have direct responsibility for reviewing, conducting and executing audits for branches and advisors for both Worldsource Financial Management Inc.(WFM) and Worldsource Securities Inc.(WSI), as well as Complaint handling.

ESSENTIAL FUNCTIONS:

- Conducting in-person and remote Branch Reviews in accordance with the established Branch Review program and in accordance with an established review schedule across Canada, primarily in Central and Eastern Canada;
- Delivering Compliance training to branches (Advisors, Branch Staff and Branch Managers);
- Maintaining collaborative relationships with Advisors and Branch Managers/Supervisors in order to promote a culture of compliance within WFM/WSI;
- Conducting Advisor conduct/complaint investigations as called for by head office or regulatory authorities;
- Conducting special reviews and assignments as required;
- Completing other tasks as assigned by the Senior Director and/or Chief Compliance Officer.

JOB SPECIFICATIONS:

- Minimum of 7 years of directly related experience at an MFDA and/or IIROC dealer is preferred
- Successful completion of the CSC, CPH, IDSC or equivalent is required
- Must be eligible for immediate registration with provincial securities regulators
- Excellent oral & written communication skills and strong conflict resolution skills
- Excellent organizational skills are a must due to the deadlines required in this role.
- Strong ability to work independently is mandatory as tasks are not inter-dependent with others
- Strong knowledge of Microsoft Word and Excel is required
- Dataphile knowledge is preferred
- Valid driver's license and personal vehicle is mandatory as regular travel within the designated region (and occasionally outside the region) will be required

COMPENSATION:

- Commensurate with experience

If you are interested in applying for this position, please forward a cover letter & resume in confidence to hr@worldsourcewealth.com.

***We would like to thank all applicants for their interest, however only those selected for an interview will be contacted.*

