



JOB TITLE: Senior Manager, Policy & Procedure, AML Officer & Privacy Officer
DEPARTMENT: Compliance, Worldsource Wealth Management (“WWM”)
REPORTS TO: Vice President, Dealer Compliance
LOCATION: Markham, ON (Applicants working remotely within Canada may also apply)

JOB STATEMENT:

The successful candidate is someone who is able to identify, comprehend and create policies for new laws and regulations that are being considered by all regulators and law makers, and must adapt them for the Worldsource dealerships’ Policies & Procedures Manuals. The candidate will also be responsible for maintaining and updating Compliance’s Internal Control Handbooks and for the adherence to AML and Privacy legislation as the appointed officer for both. The candidate must deal with privacy breaches and AML incidents, including reporting to Fintrac and other agencies and regulators.

ESSENTIAL FUNCTIONS:

- Maintaining Worldsource Securities Inc. (“WSI”) and Worldsource Financial Management Inc. (“WFM”) policies and procedures (“P&Ps”);
- Taking responsibility for the ongoing reconciliation of both compliance manuals with new rules and regulations;
- Maintaining the Internal Control Handbooks;
- Identifying the need for communications to the field as regulations change, and drafting of the same;
- Working closely with the Compliance management team to maintain efficient P&Ps for both platforms;
- Acting as the AML Officer for both WSI and WFM and related reporting functions;
- Handling the periodic testing of procedures;
- Dealing with external auditors for various audits; and
- Completing other tasks and projects, as assigned, by the Vice President, Dealer Compliance.

QUALIFICATIONS:

- Post-secondary education
- A minimum of five years’ working experience in the financial services industry with specific knowledge of industry rules and regulations, as well as federal and provincial legislation
- Ability to work independently, yet collaborate with peers
- Strong organizational and time management skills
- Strong communication and interpersonal skills
- Excellent working knowledge of Microsoft Office (particularly Excel) and Adobe
- Knowledge of Dataphile would be an asset.

COMPENSATION:

Commensurate with experience

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

Worldsource is committed to accessibility in employment and to ensuring equal access to employment opportunities for candidates, including persons with disabilities. In compliance with AODA, Worldsource will endeavour to provide reasonable accommodation to persons with disabilities in the recruitment process upon request. If you are selected for an interview and you require accommodation due to disability during the recruitment process, please notify the hiring manager upon scheduling your interview.

We thank all applicants for their interest but only those selected for an interview will be contacted.