

Compliance and Supervision Analyst

Location: This position can be based in our Toronto, Winnipeg, Calgary, or Vancouver office.

Our organization:

Founded in 2017, Wellington-Altus Financial Inc. (Wellington-Altus) is the parent company to Wellington-Altus Private Counsel Inc., Wellington-Altus USA Inc., Wellington-Altus Insurance Inc., Wellington-Altus Group Solutions Inc., Wellington-Altus Asset Management Inc., and Wellington-Altus Private Wealth Inc.—the top-rated* wealth advisory company in Canada and one of Canada's Best Managed Companies. With more than \$25 billion in assets under administration and offices across the country, Wellington-Altus identifies with successful, entrepreneurial advisors and portfolio managers and their high-net-worth clients.

**Investment Executive 2023 Brokerage Report Card.*

The opportunity:

Reporting to the Associate Vice-President, Supervision, the Compliance and Supervision Analyst will support the Tier 1 Supervision program. The incumbent's daily tasks will provide holistic compliance supervision support including; reviewing daily trading activities, reviewing marketing materials, and ongoing monitoring research.

Key responsibilities include:

- As assigned, conducting Tier 1 supervision activities, including reviewing and approving daily, monthly, and quarterly trade reports.
- Following up on supervision queries, marketing reviews, and monitoring social media.
- Assisting registrants of the firm in resolving compliance issues with respect to regulatory guidelines interpretation and with inquiries relating to acceptance of unique or exceptional situations.
- Participating in internal compliance reviews and external regulator reviews as required.
- Actively looking for ways to improve the efficiency and effectiveness of the firm's system of compliance and supervision.
- Maintaining knowledge of policy and procedure changes within the firm and industry.
- Participating in other compliance and supervision-related projects and initiatives as assigned.
- Performing other duties as assigned

The ideal candidate will possess:

- A bachelor's degree in business administration, economics, or similar field of study.
- A minimum of 2-5 years of progressive experience with a CISO Dealer Member or bank.
- An ability to be registered as a Supervisor with CISO is considered an asset.
- A CSC, CPH, and Investment Dealers Supervisors Course would be considered an asset.
- Knowledge of the financial services industry, the Canadian regulatory framework, provincial securities legislation, and the regulatory requirements of CISO and the provincial securities regulators.

- A capacity to engage constructively and respectfully with individuals at all levels of the organization, and an ability to achieve high-quality outcomes.
- Strong communication skills, both verbal and written, with the ability to convey information clearly and professionally.
- Strong organizational skills and attention to detail with the ability to prioritize effectively, handle multiple tasks, and handle stress in a fast-paced environment with changing priorities.
- Strong people-management, interpersonal skills, and business acumen.
- Strong analytical and problem-solving skills and sound professional judgment.
- Strong motivation and willingness to learn.
- Reliable, consistent work ethic.
- An ability to manage ambiguity.

Conditions of employment:

- Must be legally eligible to work in Canada.
- A background check, satisfactory to the employer, may be required of the successful applicant prior to commencing employment.

Wellington-Altus Private Wealth is strongly committed to equity and diversity within its community and welcomes applications from women, racialized persons, Indigenous peoples, persons with disabilities, and persons of all sexual orientations and genders. All qualified individuals who would contribute to the further diversification of our organization are encouraged to apply.

If you require accommodation for the recruitment process, please let us know at the point of application.

To apply:

Click the “Apply for This Job” button to submit your resume, cover letter, and salary expectations by (insert Date). You will be contacted if you are selected for an interview. More information about working at Wellington-Altus can be found on our website at www.wellington-altus.com.