

Job Details

Description

Manager, Supervision

Location: This position will be based out of our Toronto, Winnipeg, Calgary, or Vancouver Offices.

Our organization:

Founded in 2017, Wellington-Altus Financial (Wellington-Altus) is the parent company to Wellington-Altus Private Counsel Inc., Wellington-Altus USA Inc., Wellington-Altus Insurance 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 \$20 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 2022 Brokerage Report Card.*

The opportunity:

Reporting to the Associate Vice-President, Supervision, the Manager, Supervision will be registered with the Canadian Investment Regulatory Organization (CIRO) of Canada and charged with the responsibility of supervising the activities of all registrants of the firm.

The Manager, Supervision will be responsible for implementing an efficient and effective program of advice, education and supervision for Wellington-Altus Private Wealth to ensure the firm and its registrants continue to adhere to all regulatory requirements and internal policies and procedures.

Key responsibilities include:

- As assigned, conducting tier 1 supervision activities, including the review and approval of daily, monthly, and quarterly trade reports, account opening, and KYC updates.
- Participating in dialogue with managers and advisors regarding inquiries, supervision/compliance issues.
- Raising knowledge level regarding regulatory compliance and supervision practices and processes.
- Assist registrants of the firm in resolving compliance issues with respect to regulatory guideline interpretation and with inquiries relating to acceptance of unique or exceptional situations.
- Participating in internal compliance reviews and/or external regulator reviews conducted at Head Office or branches.
- Continually looking for ways to improve the efficiency and effectiveness of the firm’s system of compliance and supervision.
- Proactively maintaining knowledge of policy and procedure changes within the firm and industry.
- Participating in other compliance and supervision-related projects and initiatives as assigned.
- Acting as a floater supervisor to assist in supervision when other Supervisors or Managers, Supervision are absent.



- Building strong relationships with the team and facilitating connected thinking between Compliance, Supervision, Advisors, and corporate staff.
- 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 2-5 years of progressive experience with CISO Dealer Member or bank, including 1 year in a compliance or supervisory role.
- An ability to be registered as a Supervisor with CISO.
- Completion of CSC, CPH, and the Investment Dealers Supervisors Course.
- CIM designation is an asset.
- Completion of the Options Supervisors Course is 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.
- Strong motivation and willingness to learn.
- 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.
- A capacity to engage constructively and respectfully with individuals at all levels of the organization, and an ability to achieve high-quality outcomes.
- Strong written and verbal communication skills, with the demonstrated ability to communicate effectively and tactfully.
- Excellent time management skills, with the ability to prioritize appropriately and work independently to achieve goals.
- Developed written, verbal, and interpersonal communication skills.
- Very strong people-management, interpersonal skills, and business acumen.
- Strong analytical and problem-solving skills and sound professional judgment.
- 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 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. 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.