



JOB TITLE: Manager, Compliance
DEPARTMENT: Compliance, Worldsource Wealth Management (“WWM”)
REPORTS TO: Director, Compliance
LOCATION: Hybrid (Markham, ON and remote)

JOB STATEMENT:

The Manager of Compliance assumes the crucial responsibility of coaching, training, and offering ongoing support and oversight to the Surveillance Team of both Worldsource Financial Management Inc. (“WFM”) and Worldsource Securities Inc. (“WSI”). This individual will work closely with the team to ensure regulatory, corporate and fiduciary obligations are met. The successful candidate must be highly detailed, organized and accurate and have the ability to work under pressure and meet deadlines. In addition, the candidate must work with limited supervision, exercise initiative and use independent judgment in the performance of assigned tasks.

ESSENTIAL FUNCTIONS:

- Managing a team of Compliance Officers;
- Designing, executing and maintaining the Head Office Supervision Program procedures in compliance, specifically with MFDA Policy 2, MR-0069, IIROC Rule 3900 and with other regulatory requirements;
- Overseeing the 2nd tier reviews of all WFM/WSI approved persons, reviewing the suitability of investments and monitoring trading practices for compliance with industry and company policies;
- Acting as the first point of escalation for non-compliant trading practices;
- Ensuring effective review and approval for sales communications;
- Training Compliance Officers to effectively carry out their responsibilities;
- Responding to inquiries presented by the sales force and head office staff;
- Upholding and effectively communicating the company’s policies and procedures;
- Participating on internal committees and project teams; and
- Producing reporting on Head Office Supervision Program activities.

QUALIFICATIONS:

- Post-secondary education
- Minimum of 5 years of compliance related experience or related role at a senior level, preferably in a CIRO firm, investment dealer or fund company
- Successful completion of the Canadian Securities Course (CSC) and Branch Manager’s Course (BMC), or equivalent
- Successful completion of the Conduct and Practices Handbook (CPH) preferred
- In-depth knowledge of the financial services industry, including understanding of regulatory requirements of CIRO and other regulatory rules/obligations
- Strong conflict resolution skills
- Excellent oral and written communication skills and excellent organizational skills
- Strong knowledge of Microsoft Office applications

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.