

Firm: GMP Securities LP
Position: Compliance Officer
Location: Toronto

This position reports to the Senior Vice President of Compliance. The objective of the position is to conduct and provide compliance monitoring, direction, advice and support for GMP's business units in order to provide reasonable assurance that:

- The firm and its employees comply with applicable securities regulatory requirements and internal policies and procedures.
- The risk of reputational damage, regulatory sanction and discipline, client complaints and civil litigation is minimized.
- Actual and potential compliance violations and risk situations are pro-actively identified, investigated and resolved or escalated in an appropriate and timely manner.
- The firm's employees receive high quality, accurate and timely compliance direction, advice, support and service, and employees are educated on their compliance responsibilities and requirements.

Primary Responsibilities:

- Review of trading in accordance with applicable regulatory requirements by conducting daily, monthly and quarterly testing. Ensure testing results are within acceptable limits on an ongoing basis by identifying sub-standard results, implementing additional testing, recommending corrective measures to senior management and ensuring timely reporting of any deficiencies.
- Maintain evidence of the reviews/monitoring in accordance with regulations and the firm's policies and procedures.
- Track the status and report to management all interactions and communications with regulators.
- Collaborate with colleagues from RGMP compliance to avoid redundancies relating to regulatory requests.
- Develop and maintain relationships with each of the relevant Canadian securities regulators.
- Assist in designing, creating and documenting new monitoring reviews.
- Monitor adherence to internal Compliance policies and procedures to ensure that this part of the compliance function is effective
- Work as part of a cross functional team, participating in projects and other duties as assigned.
- Interact with other internal departments on compliance matters
- Provide advice and counsel on compliance and regulatory risk matters.
- Ensure that compliance review/monitoring procedures are conducted in a high quality, risk-based manner and appropriate follow-up actions are taken.
- Identify areas of non-compliance, making recommendations for appropriate corrective and applicable disciplinary action.
- Participate in special projects requiring specialist compliance input and expertise, such as Compliance Manual reviews and updates.

- Maintain a high level of awareness of compliance related changes and developments in the securities industry through review of publications, participation in industry associations, employee development initiatives, etc.
- Other duties and projects as may be assigned from time to time.

Proficiency requirements and skills:

- Working knowledge of SMARTS Broker
- Strong knowledge of equity markets structure and/or operations
- Comfortable in a trade desk environment
- Excellent communication skills, both written and oral
- Strong personal integrity in dealing with confidential and sensitive information.
- Thorough knowledge and understanding of the securities industry, relevant regulatory and compliance best practices applicable to the Institutional activities of an IIROC member investment dealer.
- Superior knowledge of Microsoft applications (including Word, Excel and Power Point) and familiarity with the internet and related applications as tools for conducting compliance related research.
- Strong analytical skills and a keen eye for detail.
- Capable of simultaneously handling multiple tasks and meeting stringent deadlines.
- Self-motivated, confident and capable of working both independently and in a team environment.

Education/Work Experience/Designations

- College Diploma or University Degree.
- Enrolled in or successful completion of the Canadian Securities Course, Conducts and Practices Handbook Course, and the Traders Training Course.

Individuals interested in this position should contact via email:

Chris Hill chill@gmpsecurities.com or

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