

## ABOUT US

Founded in 1995, Assante Wealth Management is a wholly owned subsidiary of CI Financial and one of Canada's largest wealth management firms. Our 750 professional advisors, located in communities throughout the country, oversee approximately \$39 billion in assets for more than 300,000 clients. Assante Wealth Management's services include investment management, retirement planning, tax planning, insurance and estate planning.

**POSITION:** Manager, Branch and Trade Desk Audit

**LOCATION:** Toronto (M5J 0A3)

**STATUS:** Full-time

## JOB OVERVIEW

We are currently seeking a Manager, Branch and Trade Audit to join our Assante Compliance team.

### Overview – Branch Review

The Branch Review team is committed to identifying, addressing and overcoming regulatory compliance deficiencies within the branch environment. Their focus has evolved from just auditing the branch and issuing a report, to helping advisors/branches solve the problems and implement solutions designed to foster client trust and help build advisors business'. The mandate of the Branch Review is to help advisors/branches identify regulatory deficiencies and correct compliance gaps through the delivery of education/training and practical solutions to their business objectives.

### Overview – Trade Desk Review

Trade Desk Review is responsible for the quarterly trade desk audits of the Assante Capital Management (ACM) to ensure adherence to UMIR. In addition, the Trade Desk Review area strives to identify on a proactive basis any violations of the capital markets trading and is responsible for working with the trade desk and providing guidance to take corrective action and implement processes that will help protect the ACM trade desk from any regulatory risk.

## WHAT YOU WILL DO

- Plan and lead the preparation of audit program for Assante Capital Management ("ACM"), Assante Financial Management ("AFM") branch review and trade desk review to ensure both programs are in line with Investment Industry Regulatory Organization of Canada ("IIROC"), Mutual Fund Dealers Association of Canada ("MFDA") and Universal Market Integrity Rules ("UMIR") requirements, as well as strategic initiatives undertaken by the SROs.
- Develop, enhance and implement procedures and testing steps to assess the adequacy and effectiveness of the dealer's branch review program for both IIROC and MFDA requirements and trade desk review program for UMIR requirements.
- Ensure that audit records are accurate and complete and meet internal procedural requirements.
- Review and approve all audit reports prior to dissemination to branch managers and business owners; as well as reviewing all audit reports with the appropriate supporting documentation to ensure accuracy and completion of information prior to closing the audit report and audit file.
- Developing and maintaining the current audit schedule for both Branch Review and Trade Desk Review.
- Coach and mentor staff. Provide the necessary training and development to staff of new rules and regulatory trends.

- Provide support to Director in strategic initiatives and assigned activities, such as coordinating regulatory examination pre-work and onsite submissions to the regulatory examination staff; as well as assisting in the writing of responses to SRO audit reports.

## WHAT YOU WILL BRING

- University degree/college diploma/ or equivalent experience
- 5 years-experience within Financial Services working in the capacity of senior auditor, or branch manager.
- Strong verbal and written communication skills, experience in delivering presentations is a definite asset.
- PC literate with advanced knowledge of MS Office (Excel, Outlook, PowerPoint and Word, Thomson Reuters or alternative investment research software)
- Ability to work effectively and efficiently in a fast-paced environment.
- Detail oriented, extremely self-motivated, dedicated, good team player and enjoys working with people.
- Able to handle multiple tasks and priorities effectively.
- Experience in leading a team and managing people.
- Proficiencies: Canadian Securities Course (CSC), the Conduct and Practices Handbook (CPH), Investment Dealer Compliance Course, Branch Manager Course.

## WORKING CONDITIONS

- Normal business hours
- Some overtime may be required
- Some travel may be required

## WHAT YOU CAN EXPECT FROM US

- Collaborative and friendly team environment
- Opportunities to develop and grow within the company
- Health and Wellness programs including discounted corporate fitness membership and nutritional seminars
- Modern, conveniently-located facilities
- Community involvement including OneWalk to Conquer Cancer, Bay Street Hoops and more.

If you are a passionate, committed and dynamic individual, please submit your cover letter and resume to our Careers site on:

<https://www.workopolis.com/jobsearch/job/17888416>

Please also indicate in your online application where you have viewed this posting. Thank you.

Only qualified candidates selected for an interview will be contacted.

CI Financial Corp. and all of our affiliates (“CI”) are committed to fair and accessible employment practices and we are committed to providing accommodations for persons with disabilities. If you require accommodations in order to apply for any job opportunities, or require this posting in an additional format, please contact us at [accessible.recruitment@ci.com](mailto:accessible.recruitment@ci.com), or call 416-364-1145 ext. 4747. **If you are contacted by CI** regarding a job opportunity or testing and require accommodation in any stage of the recruitment process, please use the above contact information. We will work with all applicants to determine appropriate accommodation for individual accessibility needs.