



WEALTH PARTNERS

POSITION: Senior Compliance Officer

LOCATION: Downtown, Toronto

STATUS: Full-time, Regular

Company and Position Summary

Echelon Wealth Partners is a leading independent, Canadian-owned and operated wealth management and capital markets firm, known for its client-centered approach and entrepreneurial spirit. We are a growing firm with approximately 100 investment advisors and portfolio managers, and more than \$4 billion in assets under administration and management. Echelon offers a wide range of services for individuals, households, institutions and corporate clients from our offices in Toronto, Ottawa, Montreal, Calgary, Vancouver, Victoria and Tokyo.

Our continued growth has created the need for a full-time, experienced, **Senior Compliance Officer** to join our team in Toronto. The incumbent will be working in a fast-paced, high-growth environment and will provide regulatory, operational, audit and managerial oversight. The individual in this role will possess a strong work ethic, in-depth knowledge of the Canadian regulatory environment and excel at balancing multiple stakeholder priorities while influencing key stakeholders and groups. Echelon offers a dynamic and entrepreneurial environment where you will have a fantastic opportunity to learn, grow and help build a strong and competitive compliance culture.

Key Responsibilities:

- Day-to-day contact for advisors across the firm regarding compliance related matters
- Act as back-up during absence of other Branch Compliance Managers and compliance staff
- Provide back up to trade desk compliance staff
- Assist in the quarterly review of managed, fee based and separately managed accounts
- Provide back up to Options Supervisor
- Support advisors with ongoing compliance education and training
- Draft policy documents related to new directives issued by regulators
- Participate in industry conferences and committees
- Create new client and advisor forms and templates
- Liaise with product vendors related to compliance software and platforms (Portfolio Aid, Intranet, FCC)

- Liaise with the regulators on ad hoc requests
- Perform various head office compliance reviews and filings
- Assist with compliance projects and initiatives as needed
- Privacy officer for information breaches and client request

Required Qualifications, Experience, Skills & Behaviours:

- Must qualify to be immediately registered as a Supervisor with IIROC.
- 8 years minimum experience in the brokerage industry, with at least 5 years in a compliance capacity.
- Experience as a Supervisor/Branch Manager in an IIROC firm.
- Ability to be immediately licensed as Options Supervisor or within the first three months.
- In-depth knowledge of industry rules and regulations.
- Familiarity with Non-Brokered Private Placements
- Strong communication skills: verbal and written.
- Strong change management and influencing skills.
- Strong organizational and time management skills.
- Strong analytical skills with an attention to detail.
- Proficient in Microsoft Outlook, Word and Excel.
- Experience with Dataphile, Fidessa and PositionWatch is an asset.
- Experience in creating and presenting new policy
- Proficiency in Portfolio Aid is an Asset.
- High level of product knowledge.
- Candidates must have legal work authorization in Canada.
- Consistently demonstrates Echelon's Values and Pillars and act as a positive team-player

Application instructions:

To submit your application, please copy and paste this link into your browser

<https://echelonpartners.bamboohr.com/jobs/view.php?id=11> and click "Apply for this Job". We thank all applicants for their response but only those considered for an interview will be contacted.