



SENIOR COMPLIANCE OFFICER/ BRANCH MANAGER HARBOURFRONT WEALTH MANAGEMENT INC.

Harbourfront Wealth Management Inc. is an employee owned brokerage firm with offices across Canada. The firm specializes in providing complete wealth management solutions for middle to high net worth clients. We are looking for a qualified Compliance Officer to join us in our downtown Vancouver head office.

Duties and Responsibilities will include:

- Tier 1 / Tier 2 supervision as required, transaction review, new account and account update approval
- Identification of unusual or unsuitable activity
- Supervisory inquiries and file maintenance until resolution
- Support and training for Sales Personnel
- Assistance with investigations related to complaints, reports, investigations, regulatory inquiries, etc.
- Assistance with regulatory Business Conduct reviews
- Review of marketing and other materials
- Special projects as assigned

Required skills:

- ✓ Professional background in the financial services industry preferably with an IIROC dealer (preferred 3-5 years in a Branch Manager or Compliance supervisory role)
- ✓ Must meet the regulatory proficiencies and experience requirements to be registered as a Supervisor of Registered Personnel
- ✓ Ability to multi-task, sound time management skills and exceptional organizational skills
- ✓ Intermediate understanding of Microsoft Office suite of programs, with the technical ability and confidence to quickly master
- ✓ Strong verbal and written communication skills

Salary will be commensurate with education and experience. Medical & dental benefits are offered to full time employees. For immediate consideration, please apply by sending your resume to humanresources@harbourfrontwealth.com.

While we appreciate all applications, only those whose background and experience closely match this role will be contacted.