

**Accounts Document Specialist, Compliance
Vancouver – Job #7030**

Summary:

Canaccord Genuity (CG) is a leading independent full-service financial services firm, with operations in two principal segments of the securities industry: wealth management and capital markets. CG is driven by an unwavering commitment to build lasting client relationships – we achieve this by generating value for our individual, institutional, and corporate clients through comprehensive wealth management solutions and investment banking services. We are a leading independent wealth management firm in Canada, and the leading mid-market provider of investment banking advisory, equity research, sales and trading services for corporations and institutions.

We pride ourselves on understanding our clients' needs and finding innovative, bespoke solutions. Our entrepreneurial and friendly team will challenge you to learn and grow every day. We value great work and collaboration and strive to eliminate bureaucratic thinking. We're looking for talented people who thrive in a fast-paced environment and want to have an impact with innovative ideas and best practices.

Come be a part of our Canadian success story and help deliver superior experiences for our clients. At CG, we recognize that diversity across our business strengthens our client relationships and enables more innovative solutions. We strongly encourage applications from all qualified individuals regardless of race, religion, colour, national origin, gender, sexual orientation, age, marital status, or disability status. CG provides an accessible candidate experience. If you need any accommodations throughout the interview process and beyond, please let us know.

Our Canadian operation, Canaccord Genuity Corp., is currently looking for an Accounts Document Specialist to join our Compliance department in Vancouver. The Accounts Document Specialist will contribute to the regulatory control of Canaccord Genuity by providing the highest standard of integrity for the firm and its clients.

Responsibilities:

- Review and approve new and updated client applications to ensure compliance with regulatory requirements and internal policies and procedures;
- Communicate documentation requirements for both normal course and more complicated client accounts to Investment Advisors and assistants;
- Assist Investment Advisors and assistants with the gathering of client identification, both foreign and domestic as required under AML and IIROC regulation;
- Provide support to supervisors and VPs, Compliance for communication and other departmental needs;
- Provide input for processes & procedures to assist firm in being compliant with regulatory requirements;
- Perform time-sensitive tasks (e.g. year end and regulatory audit inquiries) quickly in response to regulatory and client inquiries;
- Handle internal and external queries efficiently to promote business and in turn profitability;
- Document queries and the result of such for reference purposes in order to target and resolve potential deficiencies.

Skills & Qualifications:

- 2-3 years' experience in the securities industry and previous experience in a back-office environment;
- Understanding of IROCC, FATCA and CRS regulations;
- Experience and knowledge of legal documentation for corporations, trusts and other legal entities;
- Detail-oriented and accurate;
- Aptitude to seek information, problem solve and exhibit sound judgment;
- Superior written and verbal communication skills with strong interpersonal skills;
- Excellent organizational and time management skills;
- Ability to work in a fast-paced environment and take initiative;
- Work in a team environment and demonstrate a professional and friendly manner;
- Proficiency with MS Word, Excel and Outlook is required, Dataphile is an asset;
- Completion or willingness to complete the CSC or CPH is an asset.

To apply, please [Click Here](#). *We recommend that all internal applicants advise their direct manager/supervisor about their interest in other job opportunities prior to sending in their job application.*