



**JOB TITLE:** Associate, New Accounts

**JOB LEVEL:** Mid-Intermediate

**INDUSTRY:** Financial Services

**LOCATION:** Toronto

**REPORTING TO:** Director, Operations

## **COMPANY OVERVIEW**

We're a leading independent, Canadian-owned and operated wealth management and capital markets firm, known for our client-centered approach and entrepreneurial spirit. Echelon is a compelling option for investors seeking unbiased investment solutions, professional management, and unparalleled service. We aim to build lifetime relationships and deliver superior service. Our financial professionals have the freedom to offer truly independent investment advice, always putting their clients' needs first. We are also a growing firm, with over \$8 billion in assets under administration and management. We service clients across Canada from our offices in Toronto, Oakville, Ottawa, London, Montreal, Vancouver, Calgary, Victoria, Saskatoon, and Edmonton.

Echelon Wealth Partners is proud to be recognized as a Great Place to Work® for four years running (2017-2021) and further securing our place on the list of Best Workplaces® for Financial Services (2019-2021), Best Workplaces® for Inclusion (2020), and Mental Wellness (2021). We've also been recognized as one of the fastest-growing companies by Maclean's/Canadian Business magazines (2019-2020) and the Globe & Mail (2020).

## **POSITION OVERVIEW**

The Associate's position will be in a mid-office role and will report directly to the Director, Operations. The role will be in charge of monitoring the Account opening process to ensure compliance with established policies and procedures of the New Accounts Department and in accordance with regulatory body (IIROC) rules and regulations.

## **CORE DUTIES & RESPONSIBILITIES**

- Ensure that all required documentation is received to open New Accounts including applications and all supporting documents are recorded in the Document Control Panel

- Make changes and update the name/address database based on documentation received in good order
- Facilitate opening all account types including Cash, Margin, Option, Short, COD, Registered Plan etc.
- Prepare documents for imaging
- Answer phone and e-mail inquiries from the sales force within service parameters established by the New Accounts Department
- Make required changes in accordance with established policies and procedures for accounts that have been opened in the field (E.g., Tag NCAF as delivered on Dataphile)
- Track relevant stats daily as required
- Assist in new advisors as it pertains to New Accounts opening and closing as required
- Perform any other duties as required and/or assigned
- Responsible for returned mail and hold mail
- Responsible for distribution of welcome packages
- Adhere to IIROC/Federal & QI rules for account opening
- Other administrative duties as needed

#### **REQUIRED EXPERIENCE, EDUCATION, SKILLS AND BEHAVIOURS**

- 3 years prior experience in new accounts required
- Knowledge of Dataphile Account Profile systems required
- Good working knowledge of Microsoft Word and Excel
- Must have good communication skills and be able to work as part of a team
- Must possess tact, good judgement, and analytical skills
- Strong analytical and problem-solving skills
- Must be able to handle high volumes during peak periods
- Familiar with IIROC, Federal, & QI rules for accounting opening
- Acts as a positive team-player – trustworthy, capable, and reliable

Echelon is committed to fostering an inclusive, accessible environment where all employees and customers feel valued, respected, and supported. If you are invited to interview and require accommodation (including alternate formats of materials, or accessible meeting rooms or other accommodation), please let us know and we will work with you to meet your needs.

#### **Application instructions:**

To Apply, please visit: <https://www.linkedin.com/jobs/view/2874551311/>

We thank all applicants for their response but only those considered for an interview will be contacted.