



Compliance Officer

Harbourfront Wealth Management is an industry leader and a rapidly growing organization that's looking for a detail-oriented professional with exceptional multi-tasking and interpersonal skills based out of Vancouver, BC. In this role, the successful candidate will be responsible for supporting the Senior Compliance Officer with branch and advisor supervision. This highly motivated candidate must take personal responsibility to build solid relationships and must have a passion for providing high quality customer service.

About Harbourfront

Harbourfront Wealth Management Inc. is an employee owned firm and IIROC registered securities dealer with offices across Canada. Discipline, knowledge and a reluctance to accept mainstream thinking are the characteristics which define the truly successful. The firm specializes in providing holistic wealth management solutions for mid to high net worth individual which includes customized, back tested portfolio construction, financial income and cash flow audits, pension style asset management and tax & trusts solutions.

You will be responsible for:

- Review or Approval of new accounts and account updates
- Assistance with daily and monthly regulatory reporting.
- Investment Advisor support
- Ongoing compliance education and training for registered personnel
- Assistance Senior Compliance Officer with Branch and Business Conduct Audits
- Assistance with anti-money laundering course tracking
- Assistance with Product Review and research
- Review of social media and marketing
- Special projects as assigned

The ideal candidate for this position has:

- ✓ 3 years of experience in the brokerage industry, with at least 2 years in a compliance capacity
- ✓ Experience with a Managed Account Platform
- ✓ Experience as a Compliance Officer/ Branch Manager in an IIROC firm
- ✓ Strong knowledge of industry rules and regulations.
- ✓ Strong verbal and written communication skills.
- ✓ Strong analytical skills with attention to detail.
- ✓ Expertise in Microsoft Outlook, Word and Excel.



HARBOURFRONT WEALTH MANAGEMENT INC.

- ✓ Ability to prioritize, multitask, work within time constraints and follow-up;
- ✓ Ability to work in a team environment and demonstrate a professional and friendly manner.

If you have any of the following, consider it an asset:

- Knowledge of National Bank office processes and tools
- Branch Manager or RR registration (securities)
- Experience in Portfolio Aide Software or other trading software

What is in it for you:

This is a permanent full-time position with a competitive compensation and comprehensive benefits package, with vacation and Extended Health and Dental coverages

How to apply:

This is an exciting role with potential for growth. If you are interested in this opportunity, please send an email with your resume and cover letter to: HR@harbourfrontwealth.com.

To be considered for employment candidates will be required to provide proof of citizenship, permanent residency or eligibility to work in Canada with no restrictions. We require applicants to complete a background verification process prior to commencing employment with the company. Employment is contingent on the satisfactory completion of a pre-employment background check.