

IIROC Supervisor, Managed and Options

Role: IIROC Supervisor, Managed and Options

Role Description:

- The Supervisor, Managed and Options is registered with the Investment Industry Regulatory Organization of Canada (IIROC) to supervise the activities of all registrants of the firm, including managed and option accounts.
- The Supervisor reports to the Manager, Compliance & Supervision.

Responsibilities & Activities:

- Conducting tier 1 and tier 2 supervision activities including; reviewing and approving daily and monthly trade reports, account opening and KYC updates, outside business activities and email and social media monitoring.
- Key member of the Portfolio Management Committee charged with reporting on the status of managed accounts for suitability and performance.
- Responsible for trade conduct supervision under Universal Market Integrity Rules (UMIR) including resolving and reporting on issues identified.
- Supporting Wellington-Altus registrants in resolving compliance issues with regulatory guideline interpretation and with inquiries relating to acceptance of unique or exceptional situations.
- Managing regulatory obligations and commitments, such as: 30-day/90-day training programs, new registrant supervision as well as close supervision.
- Participating in internal compliance reviews or external regulator audits conducted at Head Office or the branches.
- Continually look for ways to improve the firm's system of compliance and supervision.
- Perform other duties as may be assigned.

Educational & Industry Requirements:

- Bachelor's degree in business administration, finance, or similar field of study.
- CFA or CIM.
- Minimum of 5-years relevant experience working for a Dealer Member.
- Successful completion of the proficiency requirements for a Managed and Options Supervisor, including: The Canadian Securities Course, The Conduct and Practices Handbook Course, The Branch Managers Course, The Effective Management Seminar, The Derivatives Fundamentals Course, The Options Licensing Course, and The Options Supervisors Course.
- Successful completion of CFP or equivalent would be an asset.

**Knowledge, Skills,
& Abilities:**

- In-depth knowledge of the financial services industry, including understanding of regulatory requirements of IIROC and other regulators.
- Strong organizational skills and attention to detail with the ability to prioritize effectively, handle multiple tasks and handle stress in a fast-paced environment.
- Excellent interpersonal and communication skills.
- Proven analytical and problem solving skills.
- Proficiency in Microsoft Word and Excel.
- Proficiency in Portfolio Aid would be an asset.