

Supervisor

Role:	Supervisor
Role Description:	<ul style="list-style-type: none">➤ The Supervisor is registered with the Investment Industry Regulatory Organization of Canada (IIROC) to supervise the activities of all registrants of the firm.➤ The Supervisor reports to the Manager, Compliance & Supervision.
Responsibilities & Activities:	<ul style="list-style-type: none">➤ 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.➤ 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. Continually look for ways to improve the firm's system of compliance and supervision.➤ Perform other duties as may be assigned.
Educational & Industry Requirements:	<ul style="list-style-type: none">➤ Bachelor's degree in business administration, finance, or similar field of study.➤ Successful completion of the proficiency requirements for a Supervisor, including; Canadian Securities Course, Conduct and Practices Handbook, Branch Managers Course and Effective Management Seminar.➤ Minimum of 5 years relevant experience, preferably all of which working for a Dealer Member.➤ Successful completion of CFP or equivalent would be an asset.➤ Successful completion of Derivatives Fundamentals, Options Licensing and Options Supervisor Courses would be an asset.
Knowledge, Skills, & Abilities:	<ul style="list-style-type: none">➤ 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.