



## **Associate Vice-President, Compliance**

**Location:** This position can be located anywhere in Canada.

**Application Deadline:** May 30, 2022

### **Our organization:**

Founded in 2017, Wellington-Altus Financial Inc. (Wellington-Altus) is the parent company to Wellington-Altus Private Counsel and Wellington-Altus Private Wealth –the top-rated\* wealth advisory company in Canada and one of Canada's Best Managed Companies. With more than \$20 billion in assets under administration and offices across the country, Wellington-Altus identifies with successful, entrepreneurial advisors and portfolio managers, and their high-net-worth clients.

\*Investment Executive 2021 Brokerage Report Card

### **The opportunity:**

Reporting to the Vice-President, Compliance – Regulatory Affairs (the Vice-President), the Associate Vice-President (AVP) will support Wellington-Altus Private Wealth (WAPW) and Wellington-Altus Private Counsel (WAPC) Compliance by providing subject matter expertise regarding compliance to Analysts and/or Advisors.

The AVP will also support the Vice-President in the development of policies, and procedures, updating the PPM and relevant compliance manuals. The AVP will assist and guide Analysts with respect to queries from Advisors to support the firm and its registrants in complying with applicable regulatory requirements.

### **Key responsibilities include:**

- Supporting the Vice-President with ongoing responsibilities relating to the WAPW and WAPC compliance programs.
- Supporting Analysts on a regular basis with respect to Advisor operations and compliance.
- Supporting the ongoing development of appropriate policies, procedures, and controls to deliver an effective program of compliance.
- Reviewing changes in regulatory requirements to assess impact on firm's operations or compliance approach.
- Providing guidance to corporate employees and registrants regarding interpretation of relevant rules and compliance best practices.
- Fostering and maintaining strong, collaborative relationships with internal and external stakeholders, and promote a strong culture of compliance.
- Proactively identifying emerging risks, industry trends, changes in regulatory requirements and current events.
- Participating in internal compliance reviews and external regulatory reviews, as required.
- Participating in compliance related projects and initiatives, as assigned.
- Performing other reasonable duties as assigned.

### **The ideal candidate will possess:**

- A minimum 10 years of progressive financial services experience, preferably with an IIROC Dealer Member or a registered Portfolio Manager.
- An undergraduate degree.
- A law degree is considered to be an asset.
- In-depth knowledge of the regulatory framework in Canada, proficiency with IIROC rules and regulations and provincial securities legislation.



- Strong organizational skills and the ability to effectively manage changing priorities and in a high volume, fast-paced work environment.
- Exceptional interpersonal skills, ability to communicate effectively and work collaboratively.
- Proven analytical and problem-solving skills and demonstrated sound professional judgement.
- Experience with U.S. regulatory requirements and the U.S. Securities & Exchange Commission (SEC) considered an asset.
- Bilingual in French and English, both oral and written considered an asset.

**Conditions of employment:**

- Must be legally eligible to work in Canada.
- A background check, satisfactory to the employer, may be required of the successful applicant prior to commencing employment.

Wellington-Altus is strongly committed to equity and diversity within its community and welcomes applications from women, racialized persons, Indigenous peoples, persons with disabilities, and persons of all sexual orientations and genders. All qualified individuals who would contribute to the further diversification of our organization are encouraged to apply.

If you require accommodation for the recruitment process, please let us know at the point of application.

**To apply:**

Click [here](#) to submit your resume, cover letter and salary expectations; you may also email your resume to [careers@wellington-altus.ca](mailto:careers@wellington-altus.ca) for review.

You will be contacted if you are selected for an interview. More information about working at Wellington-Altus can be found on our website at [www.wellington-altus.com](http://www.wellington-altus.com).