



Manager, Supervision

Location: This position may 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 approximately \$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 Associate Vice – President, Supervision. The Manager, Supervision will be registered with the Investment Industry Organization of Canada (“IIROC”) and charged with the responsibility of supervising the activities of all registrants of the firm with a focus on managed account platforms and internal Portfolio Managers, including the supervision of option accounts.

Key responsibilities include:

- Conducting tier 1 supervision activities focused on managed accounts, including the review and approval of daily, monthly, and quarterly trade reports, account opening, KYC updates, and outside business activities.
- Reviewing and approving advertisements, marketing, sales communications, as well as social media.
- Supporting the ongoing development of supervision programs (and related procedures) for managed accounts to ensure compliance with all applicable regulatory requirements.
- Supporting registrants of the firm in resolving compliance issues with respect to regulatory guideline interpretation and with inquiries relating to acceptance of unique or exceptional situations.
- Managing regulatory obligations and commitments such as 30/90-day training programs, continuing education requirements, as well as more comprehensive supervision programs, including new employee close supervision.
- Participating in internal compliance reviews and/or external regulator reviews conducted at Head Office or branches.
- Continually looking for ways to improve the efficiency and effectiveness of the firm’s system of compliance and supervision.
- Proactively maintaining knowledge of policy and procedure changes within the firm and industry.
- Participating in other compliance and supervision-related projects and initiatives as assigned.
- Performing other duties as assigned.

The ideal candidate will possess:

- A bachelor’s degree in business administration, finance, or similar field of study.
- A minimum of 10 years financial services experience, preferably with an IIROC Dealer Member, at least 5 years in a registered capacity, and 2 as a supervisor of managed accounts.
- Current registration as a Supervisor with IIROC.



- Completion of CFP, CFA, or CIM is an asset.
- Successful completion of the proficiency requirements for an IIROC Supervisor for managed accounts, including Canadian Securities Course, Conduct and Practices Handbook, Branch Managers Course, Effective Management Seminar, CFA or CIM, Derivatives Fundamentals, Options Licensing, and Options Supervisor Courses.
- In-depth knowledge of the financial services industry, the Canadian regulatory framework proficiency with IIROC rules and regulations, provincial securities legislation, and the regulatory requirements of IIROC and the provincial securities regulators.
- Experience with US regulatory requirements and the SEC is considered an asset.
- Experience in trading, trade surveillance, and capital markets.
- Strong organizational skills and attention to detail with the ability to prioritize effectively, handle multiple tasks, and handle stress in a fast-paced environment with changing priorities.
- A capacity to engage constructively and respectfully with individuals of diverse backgrounds and abilities to achieve high-quality outcomes.
- Strong written and verbal communication skills, with the demonstrated ability to communicate effectively and tactfully.
- Excellent time management with the ability to prioritize appropriately and work independently to achieve goals.
- Highly developed written, verbal, and interpersonal communication skills.
- Strong people-management, interpersonal skills, and business acumen.
- Proven analytical and problem-solving skills and demonstrated sound professional judgment.
- Reliable, consistent work ethic.
- Proficiency in Microsoft Office tools, including Word and Excel.

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 Private Wealth 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 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.