



Senior Manager, Compliance - Regulatory Affairs

Location: These positions may be based in any city 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 Senior Manager, Compliance - Regulatory Affairs (Senior Manager) will support Compliance by gathering information, investigating, and adjudicating complaints relating to the firm and its registrants.

The Senior Manager will support the Vice-President in the day-to-day management of various regulatory affairs and will communicate with regulators, registrants, clients and corporate staff on a regular basis.

Key responsibilities include:

- Support the Vice-President, Compliance on interactions with securities regulatory authorities, including inquiries, reviews, investigations, enforcement actions, complaints (internal and external) and production orders.
- Support the ongoing development of appropriate policies, procedures, and controls relating to complaints and investigations to facilitate a fair and effective complaints process.
- Proactively monitor changes in regulatory requirements and update the firm's complaint and investigation processes as appropriate.
- Adjudicate complaints, including preparing analysis, conducting research and interviews, and making recommendations to the Vice-President and drafting substantive responses to complainants.
- Communicate with complainants, corporate staff, registrants, and regulators, including IIROC and provincial securities commissions.
- Participate in compliance related projects and initiatives, as assigned.
- Performing other 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.
- In-depth knowledge of the regulatory framework in Canada, deep understanding of 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.
- Excellent written communication skills.



- Proven analytical and problem-solving skills and demonstrated sound professional judgement.
- Experience with regulatory complaints and/or investigations and interactions with securities regulatory authorities strongly preferred.
- 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 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.