



Vice-President, Compliance, Systems & Surveillance

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:

The position is part of shared services, reporting to the Chief Compliance Officer, Wellington-Altus Private Wealth (WAPW), and Chief Compliance Officer Wellington-Altus Private Counsel (WAPC). The Vice-President, Compliance, Systems & Surveillance (Vice-President) will provide leadership, direction and support to the trade surveillance and supervisory teams of WAPW and WAPC.

The Vice-President will be responsible for creating and maintaining an efficient and effective program of trading supervision for WAPW and WAPC to ensure the firm and its registrants continue to adhere to all regulatory requirements, and internal policies and procedures. The Vice-President will also be responsible for identifying systems needed to effectively monitor trading and will lead Compliance on project teams that identify, configure, and maintain the compliance systems needed to effectively monitor trading and trade supervision at WAPW and WAPC.

Key responsibilities include:

- Providing leadership and direction to a team of registered supervisors responsible for trade surveillance of registrants.
- Identifying emerging risks and trends and make enhancements to existing policies, procedures and controls to appropriately mitigate risk and improve the efficiency and effectiveness of the firm's risk-based supervision program.
- Providing guidance to supervisory team and registrants regarding interpretation of rules, assessment of risk and compliance best practices.
- Assessing systems needs for trade supervision and work with Operations and third-party vendors to configure and implement systems.
- Representing Compliance and Supervision in systems related projects and provide expertise regarding IIROC's Universal Market Integrity Rules (UMIR) and CSA trading rules, including best execution.
- Efficient execution of the firm's trade supervision program, including management of any imposed terms and conditions of registration.
- Fostering and maintaining strong, collaborative relationships with internal and external stakeholders, and promote a strong culture of compliance.
- Identifying trends in non-compliance and work with education and training team to develop registrant and staff training programs to promote compliance and mitigate risk.
- Providing input to the ongoing development of the firm's branch review program.
- Participating in internal compliance reviews and external regulatory reviews, as required.
- Participating in internal and external industry committees and working groups.



- Providing regular updates and reports to the WAPW and WAPC CCOs and other senior executives.
- Participating in compliance and supervision related projects and initiatives, as assigned.
- Performing other reasonable duties as assigned.

The ideal candidate will possess:

- An undergraduate degree.
- A minimum 15 years' experience with an IIROC Dealer Member, asset manager, marketplace or regulator.
- In-depth knowledge of the regulatory framework in Canada, proficiency with IIROC rules and regulations and provincial securities legislation, focusing on trading rules and UMIR.
- Good understanding of systems and approaches to trade surveillance.
- 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 leading high performing teams in a rapidly evolving, complex work environment.
- Experience leveraging innovation and technology in designing effective compliance programs.

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.