



## **Vice-President, Supervision, Eastern Canada**

**Location:** This position will be based in Ontario or Quebec.

**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 Chief Compliance Officer, Wellington-Altus Private Wealth (WAPW)\*, the Vice-President, Supervision, Eastern Canada (Vice-President, Supervision) will provide leadership, direction and support to WAPW's supervisory team in Eastern Canada.

The Vice-President, Supervision will be responsible for maintaining an efficient and effective program of supervision for WAPW to ensure the firm and its registrants continue to adhere to all regulatory requirements, and internal policies and procedures.

*\*Subject to regulatory approval*

### **Key responsibilities include:**

- Providing leadership and direction to a team of Investment Industry Regulatory Organization of Canada (IIROC) registered supervisors responsible for Tier 1 supervision of WAPW registrants in Eastern Canada.
- Identifying emerging risks and trends and making 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.
- Efficient execution of the firm's 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 CCO and other senior executives.
- Participating in compliance and supervision related projects and initiatives, as assigned.
- Performing other duties as assigned.

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



- An undergraduate degree in business, finance, economics or similar field of study.
- A minimum 15 years of progressive experience with an IIROC Dealer Member, including 10 years in a registered supervisory capacity and 5 years managing a supervisory team.
- 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 leading high performing teams in a rapidly evolving, complex work environment.
- Experience leveraging innovation and technology in designing effective compliance programs.
- Bilingual in French and English, both oral and written, considered an asset.
- Experience as a registered Supervisor of managed accounts and options is preferred.
- A CFP, CFA or CIM designation is preferred.

**Conditions of employment:**

- Must be legally eligible to work in Canada.
- Current registration as a Supervisor with IIROC.
- A background check, satisfactory to the employer, may be required of the successful applicant prior to commencing employment.
- Travel will be required.

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](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).