



## **Manager, Supervision**

**Location:** This position may be located in any of our offices in Vancouver, Calgary or Saskatoon.

### **Role Description:**

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.

### **As the Manager, Supervision you will:**

- Conduct 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.
- Review and approve advertisements, marketing, sales communication as well as social media.
- Support the ongoing development of supervision programs (and related procedures) for managed accounts to ensure compliance with all applicable regulatory requirements.
- Support 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.
- Manage 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.
- Participate in internal compliance reviews and/or external regulator reviews conducted at Head Office or branches.
- Continually look for ways to improve the efficiency and effectiveness of the firm’s system of compliance and supervision.
- Proactively maintain knowledge of policy and procedure changes within the firm and industry.
- Participate in other compliance and supervision related projects and initiatives as assigned.

### **Your education and qualifications include:**

- Bachelor’s degree in business administration, finance, or similar field of study.
- 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.
- Currently registered as a Supervisor with IIROC.
- Completion of CFP, CFA or CIM is preferred.
- Successful completion of the proficiency requirements for an IIROC Supervisor, 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 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.
- 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 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 judgement.
- 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.

***To apply, please submit your application [here](#).***

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