

# ECH<sup>≡</sup>LON

CAPITAL MARKETS

**JOB TITLE:** Associate, Private Placements – Equity Capital Markets

**LOCATION:** Toronto, ON

**INDUSTRY:** Financial Services

**REPORTING TO:** Head of Equity Capital Markets

## **COMPANY OVERVIEW**

We're a leading independent, Canadian-owned and operated wealth management and capital markets firm, known for our client-centered approach and entrepreneurial spirit. Echelon is a compelling option for investors seeking unbiased investment solutions, professional management, and unparalleled service. We aim to build lifetime relationships and deliver superior service. Our financial professionals have the freedom to offer truly independent investment advice, always putting their clients' needs first. We are also a growing firm, with over \$8 billion in assets under administration and management. We service clients across Canada from our offices in Toronto, Oakville, Ottawa, London, Montreal, Vancouver, Calgary, Victoria, Saskatoon, and Edmonton.

Echelon Wealth Partners is proud to be recognized as a Great Place to Work® for four years running (2017-2021) and further securing our place on the list of Best Workplaces® for Financial Services (2019-2021), Best Workplaces® for Inclusion (2020), and Mental Wellness (2021). We've also been recognized as one of the fastest-growing companies by Maclean's/Canadian Business magazines (2019-2020) and the Globe & Mail (2020).

## **POSITION OVERVIEW**

Reporting directly to Head of Equity Capital Markets, the Associate, Private Placements will be assigned to the review and evaluation of Non-Brokered Private Placement investments ("NBPP") as well as handling the processing and settlement documentation of the related transactions.

Using experience gained across a range of industry sectors, structures and transactions in a previous capital markets role, the Associate, Private Placements will evaluate potential investment opportunities based on the required transaction due diligence guidelines, approve and process quality transactions through to final settlement while working in conjunction with the firm's Chief Compliance Officer. The Associate, Private Placements will play an active role in the evaluation, due diligence and processing of NBPP transactions from initial submission to final settlement. The successful incumbent will also assist the ECM team with all aspects of transaction execution and processes as well as completing other ECM projects and tasks as required.

This is an excellent opportunity for an experienced and dedicated financial professional seeking a critical capital markets role with future growth potential.

### **CORE DUTIES & RESPONSIBILITIES**

- Primary responsibility for issuer review and approval using IIROC best practice guidelines for participation in NBPP by advisors/clients
- Conduct due diligence on each issuer and transaction to identify business and transactions risks, and determine if risk mitigation methods are available
- Where applicable, work with Echelon staff members in Legal and Operations and with Issuer's legal counsel with respect to processing and settling approved transactions
- Comprehensively track NBPP transaction data
- Proper retention of due diligence records and other related documents for each NBPP transaction
- Act ethically at all times to ensure transactions and procedures are compliant with any and all industry and company policies and regulations

### **REQUIRED EXPERIENCE, EDUCATION, SKILLS AND BEHAVIOURS**

- At least 2 years of capital markets related experience within an IIROC regulated environment
- Undergraduate degree, preferably in a finance/accounting/commerce discipline
- CFA, FCSI or Canadian Securities Course an asset
- Excellent attention to detail
- Exceptional verbal, non-verbal and written communication skills
- Knowledge of a range of private placement investment structures, industry sectors, covenants and legal documentation
- Strong ability to identify business weaknesses flagged in financial statements, evaluate weaknesses, and can lead a discussion on how key strengths and weaknesses trends are reflected in financial statements
- Highly motivated team player who works collaboratively and enjoys the challenges of a transactional environment, can manage multiple projects and thrives on working in a capital markets environment
- Ethical, trustworthy and fully committed to supporting business objectives while ensuring all regulatory and compliance controls are maintained at all times

Echelon is committed to fostering an inclusive, accessible environment where all employees and customers feel valued, respected, and supported. If you are invited to interview and require accommodation (including alternate formats of materials, or accessible meeting rooms or other accommodation), please let us know and we will work with you to meet your needs.

### **Application Instructions:**

To apply, please visit: <https://www.linkedin.com/jobs/view/3028790163/>