



Job Title: Deputy Chief Compliance Officer
Company: Portfolio HiWay Inc.
Location: Toronto, Ontario

Deputy Chief Compliance Officer

PortfolioHiWay is a Canadian wealth management technology firm created to seamlessly connect investors, advisors and third-party managers. Our goal is to simplify investing by offering an improved client experience at every level. PortfolioHiWay helps clients streamline processes, enhance scalability and reduce operational risks while expanding their investment universe and lowering overall costs. We do this by combining innovative technology and enhanced service offerings to automate many day-to-day aspects of running a business so that advisors can focus on their clients.

We are looking for an experienced compliance professional to be responsible for managing key Compliance functions, including developing and maintaining policies and procedures, managing regulatory change, external and internal reporting, staff training and providing the business with supervision and compliance direction.

Responsibilities

- Provide support to the Chief Compliance Officer in the development and administration of the Compliance program
- Maintain and adjust the firm's policies and procedures (including the development of new policies) to meet regulatory requirements and expectations
- Provide compliance direction and advice in all areas applicable to the business including support for continuing education, audit matters and digital innovation projects
- Perform supervision reviews and ensure the firm and all staff are compliant with applicable regulatory and business level requirements, policies and procedures
- Manage regulatory documents and filings
- Review and approve marketing materials and sales practices requests
- Other duties as assigned

Qualifications

- Bachelor's degree; a professional designation is an asset
- 7+ years of regulatory compliance experience
- Experience in developing policies and procedures to meet IIROC regulatory requirements and expectations
- Solid knowledge of, and demonstrated ability to interpret and apply, regulations applicable to an IIROC dealer, particularly privacy and anti-money laundering regulations
- Strong ability to assess gaps and build a Compliance program based on applicable regulatory requirements
- Successful completion of industry courses CSC, CPH, BM or PDO, and the CCO exam
- Bilingual in French and English is an asset

- Excellent analytical and communication skills (written and verbal)
- Proficient in using Microsoft Office, G Suite programs and other software tools
- Demonstrated ability to problem-solve and give Compliance direction and advice based on solid reasoning
- Possess a drive to lead, build, learn and improve and a “can-do” attitude
- Collaborative and supportive of colleagues and business goals

PortfolioHiWay is proud to be an Equal Opportunity and Affirmative Action Employer. We evaluate qualified applicants without regard to race, national origin, religion, gender, sexual orientation, genderidentity, disability, protected veteran status, and other statuses protected by law.

If you are interested in applying for this position, please submit your resume and cover letter by e-mail to **careers@portfoliohiway.com**

We sincerely thank all applicants for their interest, however only those in consideration for the opportunity will be contacted.