



JOB TITLE: Regional Compliance Officer
DEPARTMENT: Compliance, Worldsource Wealth Management Inc. (“WWM”)
REPORTS TO: Director, Compliance
LOCATION: Markham, ON (Primary Region: MB, AB, ON, QC and NS)

JOB STATEMENT:

The Regional Compliance Officer (“RCO”) will have direct responsibility for reviewing, conducting and executing audits for branches and advisors for both Worldsource Financial Management Inc. and Worldsource Securities Inc. (MFDA and IIROC), as well as providing oversight for Outside Business Activities and Complaint handling.

ESSENTIAL FUNCTIONS:

- Conducting in-person Branch Reviews in accordance with the established Branch Review program and in accordance with an established review schedule;
- Delivering Compliance training to branches (Advisors, Branch Administrators and Branch Managers) within the RCO’s designated region;
- Maintaining collaborative relationships with Advisors and Branch Managers in order to promote a culture of compliance within WWM;
- Conducting Advisor/branch conduct investigations, as called for by head office or regulatory authorities;
- Conducting branch visits and meetings, as required;
- Conducting special reviews and assignments, as required; and
- Completing other tasks as assigned by the Director and/or Chief Compliance Officer.

JOB SPECIFICATIONS:

- Post-secondary education
- Minimum of 5 years of directly related experience at an MFDA and/or IIROC dealer
- Successful completion of the CSC, CPH, Branch Manager’s Course or equivalent is required
- Must be eligible for immediate registration with provincial securities regulators
- Excellent oral and written communication skills and strong conflict resolution skills
- Excellent organizational skills
- Ability to work independently
- Strong knowledge of Microsoft Word and Excel is an asset
- Dataphile knowledge preferred
- Valid driver’s license is mandatory as regular travel within the designated region (and occasionally outside the region) will be required

COMPENSATION:

Commensurate with experience

If you are interested in applying for this position, please forward a cover letter and resume in confidence to hr@worldsourcewealth.com.

Worldsource is committed to accessibility in employment and to ensuring equal access to employment opportunities for candidates, including persons with disabilities. In compliance with AODA, Worldsource will endeavour to provide reasonable accommodation to persons with disabilities in the recruitment process upon request. If you are selected for an interview and you require accommodation due to disability during the recruitment process, please notify the hiring manager upon scheduling your interview.

We thank all applicants for their interest but only those selected for an interview will be contacted.

