

**Registrations Officer - Compliance
Vancouver – Job # 3984**

Summary:

Through its principal subsidiaries, Canaccord Genuity Group Inc. (the “Company”) is a leading independent, full-service financial services firm, with operations in two principal segments of the securities industry: wealth management and capital markets.

Since its establishment in 1950, the Company has been driven by an unwavering commitment to building lasting client relationships. We achieve this by generating value for our individual, institutional and corporate clients through comprehensive investment solutions, brokerage services and investment banking services.

The Company has Wealth Management offices located in Canada, the UK, Guernsey, Jersey, the Isle of Man and Australia. Canaccord Genuity, the international capital markets division, operates in North America, UK & Europe, Asia, Australia and the Middle East.

Our Canadian operation, Canaccord Genuity Corp., is seeking to hire a full-time Registrations Officer within its Compliance department in Vancouver. This role is accountable for gathering and providing information to securities regulatory organizations regarding individual and firm registration ensuring that all licensing requirements are met.

Responsibilities:

- Process and monitor initial registration applications and renewals to ensure continuation of securities registrations;
- Liaise with HR and Branch Administrators for the quick and smooth transfer of an individual’s license;
- Liaise with applicants and regulators to address any deficiencies for the receipt of a timely approval;
- Keep an accurate record of registration for internal reporting, course deadlines and audit information;
- Order US study material, schedule US licensing exams and proctor US CE Regulatory Element for the maintenance of US registration;
- Balance NRD and Canadian registration fees to ensure all fees are accounted for;
- Monitor the CRD account balance to ensure a credit position to pay for US registration fees;
- AML, Accredited Investors – sending reminders, entering credits/keeping track of completions;
- Continuing Education – entering credits/keeping track of completions.

Skills & Qualifications:

- 2-3 years of administrative experience in the financial services industry;
- 1-2 years of registration experience would be a strong asset;
- Candidate must enjoy working in a high volume, routine work environment;
- PC skills: MS Office (Word, Excel, Outlook);
- Some database experience;
- Ability to work in a fast-paced environment;

- Strong customer service skills;
- Attention to detail and the ability to work under strict deadlines.

Canaccord Genuity welcomes and encourages applications from all qualified individuals including persons with disabilities. We will provide reasonable accommodations upon request for candidates taking part in all aspects of the recruitment and selection cycle.

Qualified applicants are invited to submit a resume and covering letter including compensation expectations. All applications will be held in strict confidence. To apply, please [Click Here](#). *We recommend that all internal applicants advise their direct manager/supervisor about their interest in other job opportunities prior to sending in their job application.*

Upon offer, candidates are required to show proof of citizenship, permanent residence or eligibility to work in Canada with no restrictions.

We wish to thank all candidates for their interest but only those applicants selected for an interview will be contacted. Thank you for your understanding.