



JOB TITLE: Senior Compliance Administrator/Trading Compliance Officer

JOB LEVEL: Mid

INDUSTRY: Financial Services

LOCATION: Toronto

REPORTING TO: Chief Compliance Officer

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

Monitoring all trading activity - Institutional, Retail and DEA Trading, and responding to regulatory requests. This position requires the candidate to educate, advise and assist the Retail and Institutional Sales and Trading Departments, the Research Department, and support staff. In addition, they will be called upon to conduct special projects as required.

CORE DUTIES & RESPONSIBILITIES

- Trade desk supervision and reporting on a Daily, Monthly and Quarterly basis
- Liaison with all personnel

- Monitoring all trading activity through Fidessa, Dataphile, Position Watch and Portfolio Aid
- Training and supervising the Junior Compliance Administrator
- Maintaining and overseeing the firm's Grey and Restricted Lists
- Responding to Regulatory requests in a timely manner
- Special projects as assigned by the Chief Compliance Officer
- Quarterly trade desk review reporting and presenting to key departments
- Additional Compliance administrative duties as required.

REQUIRED EXPERIENCE, EDUCATION, SKILLS AND BEHAVIOURS

- Successful completion of the Canadian Securities Course (CSC) and Conduct & Practices Handbook (CPH) is preferred.
- Organizational and time management skills.
- Data management skills and familiarity with the Fidessa, Dataphile, Position Watch and Portfolio Aid platforms.
- Familiarity with Microsoft Office.
- Strong work ethic and team player – trustworthy, capable, and reliable.

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/2861018557>

We thank all applicants for their response but only those considered for an interview will be contacted.