



JOB TITLE: Compliance Officer
DEPARTMENT: Compliance, Guardian Capital Group Limited (“GCG”)
REPORTS TO: Director, Compliance
LOCATION: Commerce Court West, 199 Bay Street, Toronto

Guardian Capital requires all new hires to be fully vaccinated against COVID-19 at least 14 days before the start date (subject only to any approved accommodation).

JOB STATEMENT:

The Compliance Officer will work with Guardian Capital LP (“GCLP”), a registered Portfolio Manager and Investment Fund Manager, and some of its affiliates to help ensure that compliance expectations and requirements are consistently met. More specifically, the Compliance Officer will help to ensure that GCLP is successfully completing an ever expanding list of compliance oversight and monitoring tasks derived from mandates and policies put forward by GCLP, GCG and the applicable securities regulators. The successful candidate will be able to effectively manage competing priorities and duties, think critically and put in place solutions to issues that arise.

ESSENTIAL FUNCTIONS:

- Reviewing and approving of new account documentation for client onboarding, including any enhanced due diligence required for new clients;
- Conducting asset mix monitoring and trade review for compliance with client guidelines and internal risk controls;
- Providing support as needed for Guardian Capital Funds including monitoring of compliance with NI 81-102 (Investing);
- Completing proxy voting on behalf of Guardian clients / funds;
- Administering personal trading under the Code of Conduct, including provision of pre-approvals and reconciliation of account statements;
- Gathering, and analyzing information and documents to support due diligence of brokers (3416 Control Audit Reports, Financial Statements etc);
- Gathering and analyzing data for the completion of regulatory filings for investment funds and regulated entities;
- Facilitating the preparation and filing of individual and firm registration with securities regulators in Canada and the US;
- Providing support as needed for Guardian Capital Funds including monitoring of compliance with NI 81-102 (Part 15), Sales Communications marketing;
- Ongoing monitoring and review of email and social media platform use by GCG employees;
- Overseeing the Sales Practices (NI81-105) initiatives;
- Reviewing and analyzing of proposed RFPs and due diligence documents;
- Supporting training initiatives of the Compliance Department;
- Providing support in responding to regulatory exams, risk questionnaires and external audits; and
- Assisting the Compliance Department with projects as required, including those of the affiliates.

QUALIFICATIONS:

- Post-secondary education
- 3-5 years of experience in the financial services or investment industry
- Completion of Canadian Securities Course, Conduct and Practices Handbook Course and/or Investment Funds in Canada Course
- Derivatives Fundamental and/or Options Licencing Course is desirable
- Excellent oral and written communication skills
- Excellent organization skills, self-motivated and the ability to work independently
- Ability to work effectively and efficiently within a team-oriented environment
- Results oriented, dependable, and adaptable to change
- Working knowledge of Microsoft Word, Excel and Power Point

COMPENSATION:

Commensurate with experience

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

Guardian Capital is committed to accessibility in employment and to ensuring equal access to employment opportunities for candidates, including persons with disabilities. In compliance with AODA, Guardian Capital 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.