



JOB TITLE: Compliance Officer
DEPARTMENT: Compliance, Worldsource Securities Inc. (“WSI”)
REPORTS TO: Chief Compliance Officer, WSI & Vice President, Dealer Compliance, Worldsource Wealth Management Inc. (“WWM”)
LOCATION: Markham, ON

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 be responsible for providing compliance oversight review and administrative functions primarily within WSI Compliance. The successful candidate must enjoy working as part of a team, be highly detailed, organized and accurate, and have the ability to work under pressure and meet deadlines. In addition, the candidate must work without supervision, exercise initiative and use independent judgment in the performance of assigned tasks.

ESSENTIAL FUNCTIONS:

- Completing the daily and monthly review of trade alerts generated by Portfolio Aid surveillance tool;
- Preparing and maintaining spreadsheets/database/internal logs;
- Generating reports, researching and conducting analysis as required;
- Preparing and performing the monthly bookkeeping blotter for non-trading activity;
- Conducting the monthly review of pro statements and quarterly certification of pro process review;
- Tracking off book accounts on a monthly basis;
- Conducting monthly review of advisor email communication;
- Assisting, from time to time, to the Chief Compliance Officer, WSI; and
- Working on additional projects, as assigned by the Vice President, Dealer Compliance, WWM.

QUALIFICATIONS:

- Post-secondary education
- 7-10 years of compliance experience in a securities environment
- Successful completion of the CSC, CPH, Branch Manager’s Course or equivalent is required
- Options/Derivatives Course and other securities industry courses will be an asset
- Conceptual understanding of the corporate compliance methodology and program objectives
- Thorough knowledge of securities regulations and requirements
- Experience working with licensed advisors and knowledge of the independent dealer channel
- Strong business acumen and the ability to make strategic decisions in times of uncertainty
- Analytical and problem-solving skills, with the ability to precisely interpret complex compliance concepts and the ability to simplify complicated messages

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.

