



JOB TITLE: Compliance Officer
DEPARTMENT: Compliance, Worldsource Financial Management Inc. (“WFM”)
REPORTS TO: Manager, Compliance
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 is a key member of the Compliance Department with Worldsource Financial Management (“WFM”), having direct supervisory responsibilities for the surveillance of account activities. The primary purpose of this role is to monitor accounts for approved person activities for adherence to firm and industry rules and regulations and to identify, address and escalate (as required), non-compliant situations which present client risk, business risk, regulatory risk and reputation risk. 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 exercise initiative and use independent judgment in the performance of assigned tasks.

ESSENTIAL FUNCTIONS:

- Conducting 2nd tier reviews of WFM approved person activities and ensuring the suitability of investments and other compliant trading practices;
- Completing monthly reviews to identify trends or patterns that may be of concern;
- Communicating with Advisors, Regional Compliance Officers and/or Branch Managers regarding the resolution of non-compliant trading practices;
- Responding to inquiries presented by the sales force and head office staff;
- Upholding the standards outlined in the WFM Compliance Policies and Procedures manual and applicable industry regulations;
- Reviewing trades and conducting suitability analysis for all halted orders;
- Identifying unsuitable trades and communicating the compliance infractions to the Branch Managers and the Advisors in a timely manner;
- Reviewing and approving advertising and sales communications as assigned;
- Reviewing and approving leveraged investment accounts in accordance with firm and industry policy;
- Reviewing and authorizing account opening and transaction forms; and
- Working on additional tasks as assigned by the Manager, Compliance, the Director, Compliance or the Vice President, Dealer Compliance.

QUALIFICATIONS:

- Post-secondary education
- Successful completion of the Canadian Securities Course (CSC) and Branch Manager’s Course (BMC) or equivalent
- Previous experience working for a mutual fund dealer, investment dealer or fund company with compliance experience or related role preferred
- In-depth understanding of MFDA Policy 2 and MR-0069
- Strong conflict resolution skills
- Excellent oral and written communication skills

- Excellent organizational skills
- Ability to work independently
- Keen attention to detail and commitment to follow through on work assignments
- Strong knowledge of Microsoft Office

COMPENSATION:

Commensurate with experience

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

