

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

JOB STATEMENT:

The Compliance Analyst will work with Guardian Capital LP (“GCLP”) and other associated companies of GCG to help ensure that compliance expectations and requirements are consistently met. More specifically, the Compliance Analyst will help to ensure that GCLP is successfully completing an ever-expanding list of tasks derived from mandates and policies put forward by GCLP, GCG and regulators. The successful candidate will be able to effectively manage competing requirements and duties, think critically and provide solutions to issues that arise, and have the forethought to anticipate issues that may or may not be apparent to senior managers.

ESSENTIAL FUNCTIONS:

- Gathering and analyzing data for the completion of regulatory filings;
- Facilitating the preparation and filing of individual and firm registration in Canada and the US;
- Reviewing and analyzing proposed marketing materials, RFPs and due diligence documents;
- Completing proxy voting on behalf of Guardian clients/funds;
- Handling the administration of personal trading under the Code of Conduct, including provision of pre-approvals and reconciliation of account statements;
- Ongoing monitoring and review of email and social media platform use by GCG employees;
- Conducting asset mix monitoring and trade review for compliance with client guidelines and internal risk controls;
- Supporting training initiatives of the Compliance Department;
- Gathering and analyzing information and documents to support due diligence of vendors and brokers used by GCG (3416 Control Audit Reports, CyberSecurity Audits, Financial Statements, etc.);
- Providing support as needed for Guardian Capital Funds, including monitoring of compliance with NI 81-102, 81-105;
- Reviewing and approving new account documentation for client onboarding, including any enhanced due diligence required for new clients;
- 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
- Completion of Canadian Securities Course, Options Licensing 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.