

HARBOURFRONT WEALTH MANAGEMENT INC.

Senior Compliance Officer

Are you a detail-oriented professional with exceptional multi-tasking and interpersonal skills?

We are a fast growing, dynamic firm and are currently looking for a team player to join our Compliance department. In this role, the successful candidate will be responsible for branch and advisor supervision. This highly motivated candidate must take personal responsibility to build solid relationships and must have a passion for providing high quality customer service.

Harbourfront Wealth Management Inc. is an IIROC registered securities dealer with offices across Canada. As part of the employee owned Harbourfront Group of Companies, the firm specializes in providing complete wealth management solutions for middle to high net worth clients.

You will be responsible for:

- Tier 1 / Tier 2 supervision as required, transaction review, new account and account update approval
- Identification of unusual or unsuitable activity
- Supervisory inquiries and file maintenance until resolution
- Support and training for Sales Personnel
- Assistance with investigations related to complaints, reports, investigations, regulatory inquiries, etc.
- Assistance with regulatory Business Conduct reviews
- Review of marketing and other materials
- Special projects as assigned

The ideal candidate for this position:

- ✓ Has a professional background in the financial services industry preferably with an IIROC dealer (preferred 3-5 years in a Branch Manager or Compliance supervisory role)
- ✓ Must meet the regulatory proficiencies and experience requirements to be registered as a Supervisor of Registered Personnel
- ✓ Has the ability to multi-task, sound time management skills & exceptional organizational skills
- ✓ Intermediate understanding of Microsoft Office suite of programs, with the technical ability and confidence to quickly master
- ✓ Strong verbal and written communication skills

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If you have any of the following, consider it an asset:

- Knowledge of National Bank back office processes and tools

Salary will be commensurate with education and experience. Medical & dental benefits are offered to full time employees. For immediate consideration, please apply by sending your resume to humanresources@harbourfrontwealth.com.

This posting will remain open until a qualified candidate is hired. We sincerely thank all applicants who express an interest in this role, but wish to let you know that we will only be contacting applicants that are aligned with our requirements.