



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

**JOB STATEMENT:**

As a Compliance Officer, you will be a significant contributor to Compliance initiatives within GCG, and will provide compliance services to the associated companies of GCG.

**ESSENTIAL FUNCTIONS:**

- Contributing to the execution of the Compliance program through monthly, quarterly and annual monitoring, reporting and testing to ensure that policies and procedures are operating effectively;
- Reviewing and approving marketing materials, including the website, for compliance with regulations and internal policies;
- Conducting asset mix monitoring and trade reviews for compliance with client guidelines and internal risk controls;
- Reviewing and approving new account documentation for client onboarding, including any additional due diligence required for new clients;
- Contributing to Compliance, Finance and Operations efforts in meeting regulatory filing deadlines for the Guardian Capital Funds, including prospectus renewals, annual and semi-annual filings and quarterly and other reporting;
- Reviewing sales practices activities to comply with regulatory and internal requirements;
- Facilitating the appropriate registration of Guardian Capital LP, Guardian Capital Advisors LP and other regulated entities within the Guardian group and all of their respective representatives, Portfolio Managers and other registrants, with all necessary regulatory bodies;
- Assisting in the review and production of compliance documents for client reporting;
- Coordinating and supporting the provision of appropriate compliance training programs and presentations;
- Providing support to the Chief Compliance Officer and other members of the Compliance Department on regulatory issues; and
- Managing and participating in special compliance projects as assigned.

**QUALIFICATIONS:**

- Post-secondary education
- Minimum 3-5 years of directly related industry experience
- Proven ability to understand and handle compliance issues for corporate and associated companies
- Good working knowledge of securities legislation and National Instruments applicable to portfolio managers, investment funds, investment fund managers and exempt market dealers
- 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](mailto: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.*