



JOB TITLE: Compliance Officer
DEPARTMENT: Compliance, Worldsource Securities Inc. (“WSI”)
REPORTS TO: Chief Compliance Officer, WSI
LOCATION: Markham, ON

JOB STATEMENT:

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

ESSENTIAL FUNCTIONS:

- Completing the daily trade blotter review, as required by Rule 2500;
- Completing the daily commission and concentration reports review;
- Reviewing the monthly \$1500 commission report, as required by IIROC Rule 2500;
- Conducting the new accounts/KYC update review and approval;
- Reviewing and approving CE credits;
- Conducting PEP, DPEP and HIO monthly statement reviews;
- Conducting the monthly review of pro statements and quarterly certification of pro process review;
- Tracking off book accounts on a monthly basis;
- Tracking and monitoring offshore accounts on a monthly basis;
- Generating reports, researching and conducting analysis as required; and
- Performing other duties as assigned.

QUALIFICATIONS:

- Post-secondary education
- Successful completion of the Canadian Securities Course (CSC) is required, including the ability to become registered immediately
- Completion of the Conduct and Practices Handbook Course (CPH), Branch Manager Course (BMC) and other securities industry courses such as the Options/Derivatives Course and Wealth Management Essentials is considered an asset
- 3-5 years of compliance experience in a securities environment
- Conceptual understanding of the corporate compliance methodology and program objectives
- Working experience with Portfolio Aid surveillance tool an asset
- 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
- Strong analytical and problem-solving skills, with the ability to precisely interpret complex compliance concepts and the ability to simplify the 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.