



JOB TITLE: Registration Officer
DEPARTMENT: Compliance/Registration, Worldsource Wealth Management Inc. (“WWM”)
REPORTS TO: Senior Manager, Registration
LOCATION: Markham, ON

JOB STATEMENT:

The successful candidate will be responsible for assisting in the completion of registration and licensing functions as directed by the Senior Manager, Registration, for Worldsource Financial Management Inc. (“WFM”) and Worldsource Securities Inc. (“WSI”). The successful candidate will possess a keen eye for detail and accuracy, and have the ability to work under tight timelines.

ESSENTIAL FUNCTIONS:

- Assisting in the due diligence process of new advisors joining WFM and WSI;
- Setting up WFM and WSI approved persons in the WFM and WSI databases and ongoing maintenance of their registration information;
- Filing NRD submissions to bring the information of WFM, WSI and approved persons up-to-date;
- Following up on registration related information/documentation required to maintain the approved persons’ registrations with WFM or WSI;
- Helping with the annual registration renewal process for WFM and WSI, reviewing information disclosed by approved persons, identifying deficiencies, and updating NRD and the Worldsource databases;
- Helping to follow up with approved persons, and WFM and WSI head office employees for completion of the annual AML Questionnaire;
- Assisting in compiling the Registration Administration Manual/Process Guide;
- Providing administrative support to the Registration Department; and
- Performing other tasks assigned by the Senior Manager, Registration.

JOB SPECIFICATIONS:

- Post-secondary education
- A minimum of three years’ work experience in the financial services industry with specific knowledge of registration and licensing
- Excellent knowledge of Microsoft Excel, Word, Adobe & Outlook
- Positive attitude and team player, with strong attention to detail
- Strong organizational and time management skills
- Strong communication and interpersonal skills
- Knowledge of the National Registration Database, Dataphile, and Microsoft CRM, an asset.

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.

