



JOB TITLE: Compliance Assistant
DEPARTMENT: Compliance, Worldsource Wealth Management Inc. (“WWM”)
REPORTS TO: Vice President, Dealer Compliance
LOCATION: Markham, ON

JOB STATEMENT:

The Compliance Assistant will be responsible for assisting the Vice President, Dealer Compliance, in the day-to-day operations of the Compliance department for Worldsource Financial Management Inc. (“WFM”) and Worldsource Securities Inc. (“WSI”). The successful candidate will possess a keen eye for detail and accuracy and be able to work under tight timelines and with team members in all areas of Compliance.

ESSENTIAL FUNCTIONS:

- Dealing with various regulators: MFDA, IIROC, AMF, OBSI;
- Intaking complaints and processing on external systems including Comset (IIROC), METS (MFDA) and CRS (AMF);
- Maintaining complaint, regulatory, and litigation tracking logs;
- Logging Regulatory Disclosure Updates and distributing for further handling;
- Coordinating departmental and committee meeting agendas and minutes via WebEx or other platform;
- Retrieving, tracking and storing terminated advisor client files, signage, bank cards, guarantee stamps, and marketing materials;
- Working with the Registrations team to facilitate Advisor terminations;
- Tracking Pro Account and CRM updates;
- Handling Compliance team travel arrangements, as required;
- Tracking employee vacation and absences; and
- Working on special projects, as assigned (eg. questionnaires, regulatory audits, and insurance renewals).

JOB SPECIFICATIONS:

- Post-secondary education
- Minimum of 5 years’ working experience in the financial services industry, ideally in an Executive Assistant capacity
- Excellent knowledge of Microsoft Office (Word, Excel, Power Point), Adobe, and WebEx
- Team player with a Positive attitude
- Strong attention to detail
- Excellent organizational and time management skills
- Ability to work independently
- Strong communication and interpersonal skills
- Knowledge of METS, Comset, CRS, NRD and Microsoft CRM is a requirement

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.

