



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

**Guardian Capital requires all new hires to be fully vaccinated against COVID-19 at least 14 days before the start date (subject only to any approved accommodation).**

### **JOB STATEMENT:**

GCG seeks an experienced Chief Compliance Officer to join its Wealth Management team in Toronto. This individual will primarily serve affiliated companies in GCG’s growing Wealth Management division, which currently includes registered firms (Portfolio Manager) serving clients in private wealth, ultra-high net worth, and digital advice channels. The individual will provide direct, day-to-day support and oversight of multiple businesses and be a key contributor on a wide variety of regulatory compliance matters. Working with other members of the Compliance team, this leader will be responsible for the implementation, maintenance and administration of specific compliance programs. They will coordinate and perform risk assessment, monitoring, testing and surveillance activities to ensure the programs remain current and aligned with GCG standards and those of applicable regulators. This individual will work with business/group and internal partners to ensure regulatory, corporate and fiduciary obligations are met, advise on implications of new regulatory developments or internal products, and work to implement new/revised policies and programs to address them, while identifying risks and implementing appropriate actions to mitigate them.

### **ESSENTIAL FUNCTIONS:**

- Overseeing the strategy, design, implementation, and monitoring/reporting of all compliance policies and programs that have implications within the Wealth Management business group;
- Advising and influencing senior leaders on managing regulatory risk related to business decisions and strategic initiatives;
- Acting as the prime contact for senior management, other internal/external stakeholders relationships and regulators;
- Developing and maintaining compliance information for analysis and reporting;
- Achieving compliance goals by maintaining current knowledge of regulatory requirements and developments;
- Developing an expert understanding of the business/group challenges;
- Networking with industry contacts to gather competitive insights and best practices;
- Recommending measures to improve organizational effectiveness;
- Reporting to Compliance and business group senior management on regulatory risk and compliance program effectiveness;
- Providing input to business/group on emerging risks, regulatory developments and interpretation of regulations;
- Conducting and/or effectively challenging risk assessments for business/group and assists to identify more effective compliance controls;
- Performing and/or effectively challenge monitoring and testing activities to ensure regulatory compliance controls are operating and aligned to regulatory requirements. Supporting root cause analysis in response to material control failures in business/group;

- Identifying, assessing, challenging and providing oversight on the satisfactory resolution of issues, including ensuring adequate management remediation plans and validation. Elevating high profile issues/risk cases to executive management for prompt resolution;
- Consulting on new products, services and automated systems to assist with incorporating compliance requirements into these initiatives;
- Ascertaining training needs and helps develop training based on gaps identified through the compliance monitoring and testing;
- Assisting business group management in communicating and implementing changes to applicable regulatory policies and procedures;
- Interacting with examiners/auditors during internal, external and regulatory audits and examinations;
- Providing a regulatory perspective on the business group's sales and marketing materials;
- Anticipating, identifying and analyzing risk and consequences of unaddressed risk factors and compliance gaps, and recommends appropriate controls;
- Building effective professional relationships with business/groups;
- Applying expertise and thinking creatively to address unique or ambiguous situations and to find solutions to interdependent and complex problems;
- Fostering strong internal and external networks and works with and across multiple teams to achieve business objectives;
- Anticipating trends and responding by implementing appropriate changes; and
- Broadening work or accountabilities may be assigned as needed.

### **QUALIFICATIONS:**

- Post-secondary education in a related field of study
- 10+ years of relevant experience
- Direct experience in the financial advisory or investment management industry, with working knowledge of Canadian laws and regulations applicable to the securities industry, investment funds and registered Advisers and Exempt Market Dealers
- Must be qualified and capable of being registered as Chief Compliance Officer with applicable provincial securities commissions
- CFA or CIM designation, or completion of other securities industry courses and programs, an asset
- Experience in the U.S., European or other international markets, an asset
- Exceptional critical thinking, relationship management and project management skills
- Excellent oral and written communication skills, and keen attention to detail
- Excellent organizational skills, self-motivated and able to work efficiently and effectively, both independently and in a team environment
- Ability to manage ambiguity

### **COMPENSATION:**

Commensurate with experience

*If you are interested in applying for this position, please forward a cover letter and resume in confidence to [br@guardiancapital.com](mailto:br@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.*