



JOB TITLE: Senior Legal Counsel
DEPARTMENT: Compliance, Guardian Capital Group Limited (“GCG”)
REPORTS TO: Vice-President, Legal
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 Senior Legal Counsel to join its team in Toronto. This individual will provide legal advice and services to GCG and its affiliated companies, with a particular focus on its rapidly expanding retail asset management group. The individual will be a key contributor on a wide variety of legal matters and provide direct, day-to-day legal and operational support in connection with various forms of investment funds, including ETFs. This role will have a heavy focus in Canadian securities law, and may also involve exposure to the firm’s other teams, including institutional investment management and high net worth investment management. Departments requiring legal support include product development, operations, marketing, compliance, portfolio management, trading, client relationship management, advisor relations, business development and human resources.

ESSENTIAL FUNCTIONS:

- Providing legal support in connection with the creation, offer, sale and reorganization of Guardian Capital mutual funds, ETFs, and other types of investment funds, including work on offering documents and associated filings;
- Performing governance analysis and support in connection with the Guardian Capital Funds’ Independent Review Committee;
- Drafting and negotiating investment management agreements, commercial contracts, corporate records, policies and procedures and a variety of other legal documents;
- Reviewing and revising public documents in light of applicable regulatory requirements;
- Working closely with the Compliance team to respond to regulatory changes;
- Providing support on the management of legal and business risks;
- Managing the engagement of external counsel;
- Assisting with the governance of various corporate and other entities within the group; and
- Managing or participating in special projects, as assigned.

QUALIFICATIONS:

- Law degree from a recognized university and a member in good standing of the Law Society of Upper Canada
- 5-7 years of experience in an in-house legal department or law firm
- Direct experience in the investment fund, financial advisory or investment management industry, with working knowledge of Canadian laws and regulations applicable to the securities industry, investment funds and registered investment advisers and dealers
- CFA or CIM designation, or completion of other securities or insurance industry courses and programs, an asset
- Experience in the US, European or other international markets, an asset

- 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

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. 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.