



JOB

Compliance Officer - Branch Manager Positions

Location	Markham
Job Type	Full Time
Description	Risk Management & Compliance (Tier 1 and Tier 2 positions)

Description

The Compliance Officer is a risk management position within Equity Associates Inc. Compliance Department. The Compliance Officer is responsible for providing Daily supervision of advisors registered with MFDA. This position reports directly to the Senior Manager of Compliance / Chief Compliance Officer and is responsible for providing both compliance and SRO rule interpretive advice on a routine basis to the advisors of Equity Associates Inc. This position will be responsible for MFDA supervision.

Accountabilities:

- Responsible for Daily supervision
- Assist with investigations related to complaints, reports, investigations, regulatory inquiries, etc.
- Identify and escalate any areas of non-compliance
- Build on the strength of the compliance team by actively participating in team meetings, contributing toward team goals and participating on projects
- Assist in review and tracking of branch audits/examinations under Equity Associates Inc. audit program
- Review and approve requests for any ad-hoc customized Client Reports as well as output for accuracy (i.e. performance reports, tax reports)
- Assist in review of marketing and leverage plan materials, as needed
- Special projects as per CCO.

Qualifications and Skills:

- Professional background in the financial services industry preferably with an MFDA dealer (minimum of 3-5 years in a compliance or branch admin supervisory role).
- Completion of the Canadian Securities Course (CSC), Branch Compliance Officers Course (BCO) OR Branch Manager's Course (BMC), and Investment Funds in Canada (IFC)
- Organize and prioritize task to be able to work in a fast environment.
- Strong communication, interpersonal, negotiations and influence skills

Our Offering

Equity Associates Inc. offers diverse and supportive working environment in which passion, commitment and hard work are valued and rewarded.

Please indicate, in your submission, the position (Tier 1 or Tier 2 or both) you would like to be considered for.

Interested candidates are invited to forward a resume, in confidence, to:

mcgiraldo@equityassociates.ca