



Senior Compliance Officer

Company Overview

GP Wealth Management (GPWM), a member of the GP Group of Companies, is a growing, Canadian-owned wealth management firm located in Mississauga, Ontario. For over 25 years we've been providing Canadians with financial planning services through our network of independent financial advisors.

Working with us means being part of a talented team of individuals with a shared commitment to delivering great client experiences. And that starts with making sure that GPWM is an exciting place to work. Our employees enjoy a challenging and collaborative work environment that nurtures teamwork and encourages growth both personally and professionally.

Job Overview

We currently have an opening for an individual with a wide-ranging background in Compliance supervision, monitoring and reporting.

What You'll Be Doing

- ▶ Supervising junior compliance staff and performing Tier Two supervision, which includes performing timely trade surveillance and monitoring activities meeting internal policy and regulatory requirements
- ▶ Monitoring KYC suitability and other rules respecting sales practices by reviewing applications and trade activity
- ▶ Monitoring business conduct for any regulatory non-compliance activity by assessing impact and determining course of action required, including escalation if necessary
- ▶ Supervising and reviewing advisor communications including websites, social media, advertising and holding-out materials
- ▶ Reviewing Sales Trend Analysis Reports
- ▶ Performing sales compliance audits and preparing written reports
- ▶ Preparing for external audits by the MFDA and other regulatory entities as required
- ▶ Creating, documenting and maintaining current compliance monitoring procedures ensuring all requirements are identified, tested and adequately documented
- ▶ Identifying and recommending necessary changes to compliance policies and procedures to improve adherence to compliance requirements
- ▶ Overseeing client complaint handling
- ▶ Assisting with inquiries and investigations related to business conduct or regulatory non-compliance
- ▶ Developing written communication for various audiences
- ▶ Maintaining professional working relationships internally as well as externally with securities regulators as well as other governance entities



What We're Looking For

- 5+ years' experience in a compliance role in the financial services industry, preferably with a MFDA-registered firm
- Problem-solving skills necessary to resolve routine and non-routine compliance issues
- Ability to multi-task while meeting deadlines for monitoring, investigations and examinations
- Ability to evaluate and assess risk; to identify control weaknesses; to recommend actions, and; to report and follow-up on non-compliance effectively
- Must have excellent verbal and written communication skills
- Must have excellent working knowledge of MS Office Applications including Microsoft Dynamics CRM and SharePoint
- Working knowledge of Winfund Applications is an asset
- Initiative and the ability to work effectively and efficiently in a fast-paced, team environment
- University degree (or equivalent industry experience)
- Successful completion of IFIC mutual funds course or Canadian Securities Course (CSC) and willingness to complete other industry courses as required

What GPWM Can Offer You

- Competitive salary
- Flexible health benefits
- Career growth, development and continuous learning opportunities
- The opportunity to work in a supportive and progressive environment where your input and skill-set is valued and acknowledged.