

## Compliance Manager

Wealthsimple is Canada's largest and fastest growing online investment manager. We make investing easy and accessible to everybody. We're working on the challenges involved in making investment understandable and easy. We feel strongly about our brand and have twice won a Webby for Best Financial Services website. You can read about [our mission](#) and [our team](#) to learn more.

We're growing fast. In under 3 years, Wealthsimple Financial Corp has gone from \$0 under management to \$2 Billion in assets under management. We have significant funding from strategic investors that will allow us to continue building an amazing product that's competitive on a global level. Based in Toronto, Ontario, Wealthsimple Financial Corp. has operations in Canada, the United States and the United Kingdom which are regulated by the Canadian Securities Administrators, Securities Exchange Commission and the Financial Conduct Authority. Wealthsimple uses innovative technology to create investment solutions and compliance supervision tools for clients, enterprises and advisors.

We're looking for an **Compliance Manager** to join the Wealthsimple team in Toronto. You will report to the Chief Compliance Officer. This is an exciting opportunity to meaningfully contribute to an online financial services firm that is committed to seeking each client's best interests.

### **As Compliance Manager, your primary responsibility is to:**

- Develop, direct and day-to-day manage Wealthsimple's compliance management program to ensure effective identification, measurement, control and management of the relevant compliance and operational risks,
- Ensure that all applicable laws, rules, regulations as well as corporate requirements are addressed and build appropriate risk assessment, testing, monitoring, and employee training tools,
- Use technology to build agile solutions for clients, enterprise partners and financial advisors.

### **Our ideal team member will have:**

- 5+ Years of work experience in financial services firm, regulatory organization, or legal/consulting firm in regulatory matters in leadership role compliance programs; issues management, risk assessment, aggregate reporting, compliance training, and change management
- Deep understanding of with CSA, MFDA, IIROC and SEC securities rules

- Proven willingness to apply new technology and solutions to old problems with agility
- Bachelor's degree required; Advanced degree a plus
- Experience dealing with regulators is highly desired
- Must be a self-starter, flexible, innovative and adaptive;
- Advanced analytical skills; ability to proactively identify regulatory issues
- Be highly detail oriented and organized, have proven process tracking and change management experience
- Excellent project management and organizational skills and capability to handle multiple projects at one time
- Manages ambiguity - adapts to and drives change
- Appropriately assesses risk / reward relationships when making decisions
- Ability to take ownership and lead projects with a proactive, not reactive, approach; and able to independently drive initiatives to conclusions
- Ability to perform well in a high pressure, time-sensitive environment
- Understanding competing priorities, finding opportunities for efficiency in regulatory implementation

**Preferred candidates will have some of the following courses:**

- Branch Managers Course - CSI Global Education Inc.
- Mutual Fund Branch Managers' Examination Course Exam - IFSE Institute;
- Branch Compliance Officers Course Exam - CSI Global Education Inc.
- Canadian Investment Funds Course Exam -IFSE Institute
- Canadian Securities Course Exam CSI Global Education Inc.
- Investment Funds in Canada Course Exam - CSI Global Education Inc.
- Officers', Partners' and Directors' Exam - IFSE Institute
- Partners, Directors and Senior Officers Course Exam - CSI Global Education Inc.
- Mutual Fund Dealers Compliance Exam - IFSE Institute
- Chief Compliance Officers Qualifying Exam CSI Global Education Inc.
- Series 37 – FINRA
- Series 63 – FINRA

*Wealthsimple is an equal opportunity employer, committed to building a team that represents various backgrounds, perspectives and skills. We pride ourselves on creating a collaborative, diverse, and inclusive workplace for all employees.*

**Interested candidates can apply [here](#)**