

Compliance Officer  
Full-time Regular  
Kingston, ON, CA

Professional Investments (Kingston) Inc. is an independent mutual fund dealer located in Kingston, Ontario. We plan the creation, enjoyment and transfer of multi-generational wealth, for motivated people.

Major Responsibilities:

- Establish and maintain policies and procedures for assessing compliance by the firm
- Monitor and access compliance by the firm and individuals
- Report to the UDP of the firm
- Submit Annual reports
- Review and approve activities of the member and it's approved persons
- Review daily trading activities
- Supervise the activities of the Branch Managers
- Approve new client accounts
- Conduct Branch Reviews
- Act as a resource for approved persons and employees regarding policies or procedures of the firm.

Knowledge / Experience:

- Broad knowledge and understanding of the Canadian securities industry, specifically the mutual fund industry
- Broad knowledge of regulations and their applications, in particular, By-laws, Regulations, Policies and Rules of the MFDA
- Functions of other regulatory bodies
- Securities industry experience an asset
- Previous experience with a mutual fund dealer or mutual fund company an asset
- Strong written and verbal skills
- Strong knowledge of Microsoft Office
- Self-motivated
- Well-developed research, analytical, problem-solving, and organizational skills

Education:

- University degree or equivalent
- Canadian Securities Course or IFSE Canadian Investment Funds Course
- Branch Managers Course
- Chief Compliance Officers Course

All applications will be treated on a confidential basis.

We thank all applicants; however only those candidates selected for interviews will be contacted.

Please apply to: [info@pro-invest.ca](mailto:info@pro-invest.ca)