

Director of Compliance – (downtown Toronto)

Overview:

Investment Management firm with a strong culture of compliance and of maintaining exceptionally high standards, is seeking an experienced compliance professional with at least 5 years of compliance experience within the Financial Services industry. This individual requires an understanding of the rules and regulations governing the Investment Management business in Canada and ideally also has experience with the U.S. Advisers Act. This individual is someone interested in continuing to further their knowledge and apply it as they support a small, rapidly growing Portfolio Manager that manages money for high-net-worth individuals, families and institutions. The firm is subject to regulation and oversight by multiple regulators and government bodies (examples: Ontario Securities Commission, U.S. Securities and Exchange Commission, FINTRAC) and this individual will assist in continuing to evolve the firm's compliance program ensuring that it is a high-quality program that identifies and ensures compliance with all relevant rules and regulations.

Responsibilities:

Reporting to the VP Operations and Compliance, this individual will have a variety of accountabilities, including the following:

- Maintain a strong understanding of regulations applicable to the firm and its business in Canada and the U.S.
- Stay abreast of regulatory changes with the overall goal of ensuring policies and practices at the firm comply with current and upcoming regulations and best practices.
- Draft and maintain compliance policies to ensure compliance with requirements and, where applicable, industry best practice. This will be done with an appreciation of the impact on the client experience.
- Prepare and present training on compliance policies and program.
- Manage the day-to-day compliance program, including monitoring and testing, escalate identified deficiencies, and recommend solutions.
- Prepare and present periodic reporting on compliance to firm's leadership team.

This is a "hands-on" role and the individual will have an active role in day-to-day compliance and operational activities of the office.

The role will evolve with the business and is expected to change over time. Responsibilities will be split between routine activities, providing compliance advice to employees of the firm, supporting compliance projects, developing training and drafting policies. In addition, due to the small size of the firm, there may be accountability for some activities that are not directly related to compliance.

Specific accountabilities and tasks may change over time.

Skills/qualifications:

Independent learner who is curious to understand how things work.

Pays high attention to detail and accuracy.

Highly ethical and practical thinker.

Ability to apply regulations to situations with an appreciation for the business impact.

Ability to manage ad hoc projects that require research, application to business model and implementation.

Strong written and verbal communication skills. Ability to translate sometimes complex regulations into clear, plain-language policies and procedures for the firm to follow.

Team player.

How to Apply:

To apply for the position, please submit your resume to: sh.hr@silverheights.com