

## Senior Compliance Officer (Maternity Leave Contract)

### Company Overview:

Qtrade Financial Group provides comprehensive brokerage and wealth management platforms, services and solutions to the retail public as well as the customers of hundreds of financial institutions across Canada. Since 1999, Qtrade has been dedicated to providing its financial institution partners with a single source for market-leading wealth management products and services including: online, full-service and institutional brokerage services, mutual fund dealer services, insurance dealer services, portfolio management, discretionary money management services and proprietary managed money solutions. Our goal is to be a leading provider of wealth management solutions to enable our stakeholders to achieve their financial goals.

We currently administer over \$10 billion of investment assets through our subsidiaries and have been consistently ranked Canada's best online broker by both The Globe and Mail and Morningstar.

### Job Overview:

We are currently seeking a Senior Compliance Officer to join our organization for a maternity leave coverage starting in April/May 2015.

The Senior Compliance Officer will be responsible for Registrations, Advisor Access, the Compliance newsletter and web page content. The position will be located in Vancouver, B.C and will report to the Chief Compliance Officer.

### Specific Responsibilities:

- Management and mentorship of Registration and Advisor Access Staff.
- Responsible for maintenance and further development of applicable policies and procedures.
- Manage Compliance-Related Projects.
- Responsible for Compliance Newsletter.
- Responsible for online Compliance content.
- Outside Business Activities Reviews and Approvals.
- Responsible for Annual Registrant Survey.
- Management of Escalated Registration and Advisor Access Issues.
- Responsible for applicable reporting requirements to the Regulators.
- Perform other duties or special projects as assigned.
- Support the development of Qtrade's business.

### Qualifications:

- Minimum of 6 years relevant compliance experience or advisor/wealth management experience
- A university degree.
- Must be able to demonstrate a high level of organization and detailed oriented skills.
- Excellent verbal and written communication skills.
- Excellent interpersonal skills.
- Strong initiative, strong problem solving skills.
- Tech savvy, proficient with Microsoft Office and quick to learn new software.
- Experience managing Registrations is considered an asset.

**Location:**

- We are located downtown Vancouver at the Bentall One Building (corner of Burrard and Pender). 2 blocks away from the Burrard Skytrain station.

**To Apply:**

- Qualified candidates are asked to submit their resume with cover letter, as soon as possible to [careers@qtrade.ca](mailto:careers@qtrade.ca). Please clearly indicate **Senior Compliance Officer (1 year)** in the subject line.
- We thank all applicants for applying; however only those applicants selected for an interview will be contacted. No agencies, please.