

Registrations / Compliance Officer (Downtown, Vancouver, B.C.)

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.

For the first 14 – 15 months, the successful candidate will assume the position of Registrations Officer (because of a maternity leave coverage). Afterwards, the successful candidate will assume the position of Compliance Officer or Branch Compliance Manager permanently.

Ideal Candidate

This role suits a detail-oriented, highly organized individual with strong interpersonal skills who has thrived in a dynamic, fast-moving environment. This role is highly transactional and manages a large number of tasks and requests throughout the day. You're known to be a quick learner, good with computer software, and are highly professional.

Job Summary

The Registration Officer's primary role is to manage individual and firm filings with provincial securities commissions and self-regulatory organizations for Qtrade Asset Management Inc., Qtrade Securities Inc., and OceanRock Investments Inc.

Responsibilities

- Process registration filings using NRD for all individual registration categories.
- Process corporate registration filings for three of the registered entities from initial firm registration to changes and renewals.
- Correspond with other internal and external stakeholders regarding new and terminated individuals and branches.
- Respond to registration-related inquiries and requests from regulators, internal and external stakeholders.
- Conduct relevant research and provide resolutions for any outstanding registration issues and deficiencies.
- Coordinate payment of required filing fees with submission of individual and firm registration applications and payment of annual dealer registration renewal and NRD user fees.
- Monitor firm and staff registration files and records, both initial and on-going to meet standards as required by MFDA and IIROC regulations.
- Ensure established service delivery standards are met.
- Track and review IIROC CE credit and new registrant requirements.
- Track and review outside business activity submissions.
- Track and review all disclosures on NRD application forms.

- Track and review all registrants who have pending up-grade requirements.
- Track and review all registrants with proficiency requirements / documentation.
- Coordinate errors & omissions insurance applications, renewals, changes to coverage, terminations and billing inquiries.
- Assist with providing updates to internal registration processes and manuals.
- Identify items of escalation and notify management accordingly.
- Participate in registration/compliance projects as required.

Requirements

- 2-3 years of securities industry experience.
- Familiarity with NRD filing and reporting functionality.
- Direct registration experience would be considered a strong asset
- Must be willing to complete further industry courses as needed.
- Accurate, detail oriented, time conscious.
- Excellent organizational skills; disciplined work ethic.
- Excellent interpersonal skills.
- Good analytical/ investigative skills and attention to detail.
- Very good communication and writing skills.
- Customer service mind-set and attitude.
- Proficient in MS Outlook, Excel, Word, Powerpoint.
- Must be able to operate in a fast paced, multi-tasking environment.
- Post-secondary degree required.

Preferred:

- Experience as a Branch Compliance Manager or Compliance Officer in an MFDA or IIROC firm is preferred.
- Successful completion of requisite courses required for registration as an MFDA Branch Manager;
- Must be willing to complete further industry courses as needed.
- Sound knowledge of the rules and regulations governing the securities industry.

What Qtrade Offers:

- Competitive compensation
- Group benefits
- Group RRSP
- Challenging and progressive work environment
- Active social committee events

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: Please submit cover letter and resume with **Registrations/ Compliance Officer** in the subject line to careers@qtrade.ca. For more company information, please refer to our website at www.qtrade.ca

Candidates must have legal authorization to work in Canada. We thank all applicants for their interest; however only those candidates selected for an interview will be contacted. Thank you for your interest in Qtrade. No recruiters, agencies, please.

