

Compliance Specialist

Connor, Clark & Lunn Private Capital
Toronto, ON

We are looking for a **Compliance Specialist** to join our Toronto-based Private Capital Compliance team. Reporting to the Chief Compliance Officer, you will support the overall compliance function of the business. You will be one of the primary resources for the Client Relationship Managers ("CRM's"), Associates and Regulators. This is a content heavy position that will require a deep understanding of the business and the ability to manage a high volume of information flowing from both internal and external sources.

What You Will Do

- Maintain a registration listing of CRM's within the company
- Review and maintain referral arrangements to ensure compliance with the requirements of National Instrument 31-103 ("NI 31-103")
- Review accounts quarterly to ensure that non-resident investments are within allowable limits
- Review medium and high risk clients for suspicious activity
- Know Your Client ("KYC") – generate quarterly reports for CRM's and conduct weekly follow up's
- Review client files to ensure they are accurate and complete
- Assist with Common Reporting Standard ("CRS") and Foreign Account Tax Compliance Act ("FATCA")
- Ensure marketing materials are reviewed to ensure compliance with applicable legislation
- Perform regulatory compliance checks/spot audits to guarantee continuous regulatory compliance
- Responsible for answering compliance-related questions to provide regulatory guidance regarding our products and services
- Stay up-to-date with regulatory changes

What You Bring

Experience: You have a minimum of three years of related work experience, ideally in compliance, finance, or operations from a financial and/or investment firm.

Education: You have an undergraduate degree and industry-specific coursework (Canadian Securities Course, CFA Level 1).

Knowledge: You are familiar with NI 31-103 and rules set by regulatory authorities such as the Ontario Securities Commission ("OSC"), British Columbia Securities Commission ("BCSC"), Autorité des marchés financiers ("AMF"), and Financial Transactions and Reports Analysis Centre of Canada ("FINTRAC").

Collaborative Communication: You have a collaborative, team player spirit that helps you work well with others and communicate effectively.

Analytical & Strategic: You possess an analytical mind and enjoy solving problems with an eye for detail.

Time Management: You have the ability to work efficiently under pressure, both individually and as part of a team, dealing with changes and interruptions while maintaining strict deadlines.

About Us

Connor, Clark & Lunn Financial Group manages approximately \$80 billion on behalf of institutional and individual clients. We believe that success in asset management is an outcome of attracting, retaining and motivating the most talented individuals in our industry. This is best achieved by the delivery of:

A High-Quality Environment: To work with people who we hold in high regard; to enjoy the time that we spend at work; to focus on productive activities without the distraction of politics and bureaucracy; to treat each other with respect.

An Opportunity to Succeed: To do work that has value and which presents the opportunity for professional growth and development.

Recognition and Reward: To recognize each person's contribution and to align compensation with contribution.

Our business comprises of eleven institutional investment affiliates that are responsible for investment decision making and client services. Connor Clark & Lunn Private Capital provides multi-asset class investment solutions and Connor, Clark & Lunn Funds offers single strategy investments to individual investors. Connor, Clark & Lunn Financial Group partners with each of its affiliates by contributing world class operations, product development expertise, broad distribution and business management. We have grown from \$29 billion in assets and 200 people in 2008 to approximately \$80 billion and 600+ people today and this has been accompanied by a high level of change in technology, types of assets managed, trading activity and geographic growth. As we look forward we can see both challenges and opportunities for further growth that only reinforce our commitment to attracting, retaining and motivating the most talented people in our industry.

To apply for this position, please submit your cover letter and resume as one PDF document.

We thank all applicants in advance, but only those candidates short-listed for interviews will be contacted. No telephone calls or recruitment agencies will be accepted.