



Blackmont Capital Inc. (“BCI”)

Title: Compliance Officer
Business Area: Compliance
Location: Toronto
Employment Type: Permanent Full-Time

Overview:

As a Compliance officer, the incumbent’s primary responsibility will be geared towards retail compliance including; daily and monthly supervision reviews for suitability. Responding to queries of the Investment Advisor and other departments. Ensure the observance of Compliance Manual Standards, internal procedures and SRO policies.

Education:

- Combination of high school diploma and industry experience; or undergraduate degree required
- Canadian Securities Course and the Conduct and Practices Handbook Course required
- Derivatives Fundamentals Course an asset
- Options Licensing Course an asset
- Options Supervision Course desired
- Partners, Directors and Senior Officers Course desired
- Branch Managers Course desired

Qualities:

- Sound judgment and integrity
- Ability to think and act proactively
- Service oriented with an ability to remain professional under pressure
- Self motivated and interested in ongoing learning and professional development

Skills:

- Effective written and oral communication

- Highly organized and able to multi-task several projects
- Ability to work independently with minimal supervision

Work Experience:

- 2 years in a compliance role with an investment dealer or 5 years related experience within the financial industry
- Good understanding of the operations of a securities firm
- General knowledge of all securities industry regulations and their application
- Solid understanding of branch audit requirements.

Duties:

- Conduct daily and monthly Suitability Reviews; inquire and escalate issues when appropriate
- Conduct email supervision
- Offer guidance and support to advisors/branch office staff regarding compliance policies and procedures
- Conduct Option trade reviews when required
- Participate in Branch Audit Program
- Review and respond to client complaints
- Respond to regulatory and general inquiries
- Special projects and other duties as assigned

Reporting to: Manager - Retail Compliance

Please apply with your current cover letter and resume to:

careers@blackmont.com