

### **Compliance & Credit Agent - Montreal - Job #6001**

Canaccord Genuity Corp. Canada's leading independent investment firm is seeking to hire a Compliance and Credit Agent reporting directly to the VP, Compliance.

#### **Summary**

- Regularly interacts mostly with staff at a similar or higher level across the organization. The job has a medium to high impact in the organization, compared to other jobs of this level. Intermediate influencing skills are required.
- Intermediate authority level. Is able to make some decisions independently without going to the next hierarchical level.
- Performs office duties of an advanced or complex nature requiring more than average judgment and initiative.
- Requires a thorough knowledge of corporate policies and procedures and significant relevant experience.
- Responsible for projects and initiatives that will impact the organization locally, regionally and sometimes nationally.

#### **Responsibilities**

- Develops, initiates, maintains and revises policies and procedures for the general operation of the compliance program and its related activities to prevent illegal, unethical, or improper conduct.
- Develops and periodically reviews and updates standards of conduct to ensure continuing currency and relevance in providing guidance to management and employees.
- Responds to potential violations of rules, regulations, policies, procedures, and standards of conduct by evaluating and, as required, conducting investigations.
- Independently reviews (including various reports, systems and documentation) and evaluates compliance and credit issues and concerns within the organization and takes further action, as required, to ensure that problem situations are avoided or resolved.
- Reviews various client and other documentation to ensure that requirements are met.
- Ensures proper reporting of violations or potential violations to regulatory enforcement agencies.
- Reviews and approves client cheque/electronic fund transfer requests.
- Processes trade cancellations/corrections, account journal entries.
- Supervises or trains junior or intermediate staff.
- Provides support and assistance to the VP, Compliance.
- Provides coverage for others in the department during absences to ensure proper backups are in place.

#### **Skills and Qualifications**

- 5-10 years of relevant experience.
- Good communication and problem solving skills.
- Bilingual.
- Knowledge of Dataphile and Protegent is an asset.

- Demonstrated ability to meet deadlines and work well under pressure with attention to detail.
- Ability to work independently and as part of a team.
- Excellent interpersonal, oral and written communication skills.

Qualified applicants are invited to submit a resume and covering letter including salary expectations. All applications will be held in strict confidence. Please e-mail your application to Human Resources at [nathalie.fournier@canaccord.com](mailto:nathalie.fournier@canaccord.com).

We wish to thank all candidates for their interest but only those applicants selected for an interview will be contacted.