



E D G E P O I N T

JOB OPPORTUNITY

We're looking for a...

Compliance officer

Who the heck are we?

EdgePoint Wealth Management is a Toronto-based investment firm with a company culture that inspires our employees to think and act like owners. We believe employees with an ownership stake in the success of a business are more motivated to meet and even exceed the expectations of their individual role. We also believe our culture is best defined as "knowing the right thing to do without having to be told." To us, EdgePoint isn't just a job – it's our business. To learn more about us, please visit www.edgepointwealth.com.

What's the job about?

We are looking for a compliance team member who is a detail-oriented individual, has a passion for compliance and the interpersonal skills required to work closely with EdgePointers across departments. You'll be involved in day-to-day compliance activities *with a focus on investment compliance*.

More specifically, responsibilities include:

- Daily monitoring of investment restrictions including pre and post trade alerts in Charles River trading system, ownership thresholds, insider filing requirements, liquidity and other restrictions
- Create pre/post-trade and portfolio level compliance rules within trading system
- Preparation of shareholder disclosure, insider filing and other regulatory filings
- Assist with approvals and reconciliation of employees' personal trades
- Assist with internal audits for adherence with company policies, internal controls and regulatory requirements
- Assist with annual compliance training and policy maintenance. Provide support in development of new content as required

A good fit

- Minimum two to three years of compliance experience
- Knowledge of regulatory compliance as it applies to retail and offering memorandum funds
- Ability to absorb and apply at times complex legal requirements regarding share ownership and other restrictions requiring detailed review of regulation
- Accountable, detail-oriented, and ability to work independently are essential
- Experience with Charles River trading system and/or Bloomberg an asset



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Not just a boring resume

Please send us your resume and response to the question below to: wearegrowing@edgepointwealth.com.

Describe what you feel you could contribute to EdgePoint's compliance department to make it a stronger team.

The deadline for applications is May 30, 2021.

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

EdgePoint is committed to fair and accessible employment practices. If selected for an interview, we'll work with you to ensure that your interview is accessible and that accommodation due to a disability is provided on request.