



Specialized in fixed income securities, Casgrain & Company Limited is the largest Canadian non-bank-owned investment dealer. Casgrain, founded in 1947, operates in the North American financial markets.

*Casgrain & Company Limited is an equal opportunity employer.
We are committed to attracting, hiring, and retaining talented and motivated individuals.*

Position: Governance & Compliance Analyst – Maternity Leave Replacement
Location: Montreal (downtown)
Duration: December 2022 – December 2023
Hours: Full-time (37.5 h/week) or Part-time (2 to 3 days per week)

RESPONSIBILITIES

The successful candidate will be responsible for daily compliance tasks such as ensuring conformity with established policies and procedures, providing compliance assistance to staff, and other compliance duties as assigned. The governance aspect of the posting will necessitate thorough monitoring of new regulatory provisions that may apply to the Firm's business.

Your mandate will be to ensure compliance with relevant regulatory requirements that apply to the Firm – notably, the rules and policies imposed by the Firm's self-regulatory organization, IIROC. Similarly, the AML requirements of the Proceeds of Crime (Money Laundering) and Terrorist Financing Act; the rules and regulations of The Montreal Exchange; and lastly, FINRA and the SEC, which pertain to the Firm's USA subsidiary.

The candidate will collaborate closely with the Chief Compliance Officer to continue the development of appropriate corporate policies and procedures, help identify and promote good business practices, execute business review programs to monitor trading practices and business conduct, and execute the Firm's continuing education plan.

This opening embodies an excellent opportunity for someone in the securities industry who seeks to redirect their career in compliance field.

REQUIREMENTS, COMPETENCES

- Minimum of a bachelor's degree in a relevant field
- Bilingual, English / French
- Interest/experience in securities and capital markets would be an asset
- Proficiency using MS Office tools
- Intellectual curiosity
- Ability to work independently with a high level of autonomy and multi-task in a fast-paced environment
- Analytical and research skills
- Ability to work under pressure
- Ability to manage and solve problems related to your tasks

WHAT WE HAVE TO OFFER:

- 12-month contract (maternity leave replacement)
- Salary commensurate with experience
- Working in a professional and enjoyable environment
- Telecommuting up to 3 days per week
- Fresh fruit, bagels and coffee/espresso on site

Please submit your resume, cover letter and transcript to: carriere@casgrain.ca