



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
Location: Montreal (downtown)
Hours: 8:30 AM – 5:00 PM (37.5 h/week) – full-time, permanent

DUTIES AND RESPONSIBILITIES

The candidate will be responsible for performing day-to-day compliance-tasks, reviewing and testing compliance with established policies and procedures, providing compliance assistance to staff, assisting in regulatory audits, 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 also be to monitor the Firm's compliance program with relevant regulatory requirements that apply to the Firm notably, the rules and policies imposed by the Firm's self-regulatory organization, CRO, 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 maintain, draft and revise compliance policies and procedures, help identify and promote good business practices, execute business review programs to monitor trading practices and business conduct, and assist and coordinate the Firm's required regulatory -continuing education training plan.

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

SKILLS & QUALITIES REQUIRED

- Bachelor's degree in Law, Finance, Administration or a related field;
- Excellent knowledge of French and English, both oral and written;
- Experience in securities and capital markets and securities licences 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;
- Effective analytical and research skills;
- Ability to work under pressure.

EMPLOYEE BENEFITS

- Competitive salary (commensurate with experience)
- Voluntary retirement saving plan, employer contributions
- Drug and health care insurance
- Vision care insurance
- Telemedicine
- Life and disability insurance
- Reimbursement of tuition fees
- Working in a professional and enjoyable environment
- Telecommuting up to 2 days per week
- Free bagels, yogurts, fruits and coffee/espresso on site

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