

Legal Counsel, Regulatory Compliance

Company: Investment Management Firm

Location: Montreal

SUMMARY

Reporting to the Senior Vice President, Legal Affairs and Compliance, the candidate will assist the Vice President in all compliance and regulatory matters related to the Firm's investment activities.

ROLES AND RESPONSIBILITIES

- Provide advice on compliance and regulatory matters governing the Firm, including its obligations under securities legislation and under legislation regulating its various products and services.
- Review and update all policies and procedures that govern the Firm's investment activities, in accordance with applicable laws and regulations.
- Advise on, and contribute to the development of, the Compliance Department's and the Firm's overall governance policies and procedures.
- Comply with the requirements of securities regulatory authorities regarding legal documentation that must be maintained by a full-service portfolio advisor.
- Analyze and interpret the legislation governing a portfolio manager, an investment fund manager and a public company, and implement any measures required to ensure compliance therewith.
- Implement a regulatory watch of the various laws and regulations that govern the Firm's activities in the various jurisdictions where it operates.

QUALIFICATIONS

- Bachelor's degree in Law and member of the Barreau du Québec.
- Minimum of 2 years of experience in the securities industry
- Bilingualism (English and French), spoken and written;
- Ability to work under pressure, independence, discipline, initiative;
- Excellent analysis and synthesis skills;
- Ability to write clearly and concisely;
- Excellent knowledge of the Microsoft Office suite (Outlook, Word, PowerPoint and Excel).

Please note that only candidates selected for interviews will be contacted.

CONTACT INFORMATION

Please forward your CV/résumé, in confidence, to SHORE & Associates:

Michel Ohayon: mohayon@shoreassoc.com – 514-878-4777