

## **Position: Assistant Vice President (AVP), Compliance**

**Location: Oakville, Ontario (on site)**

**Harvest Portfolios Group Inc.** is a growing and leading investment management firm seeking an experienced compliance professional to play a pivotal role in strengthening and advancing our compliance program. This newly created position is ideal for a strategic thinker with a strong command of regulatory requirements and a proven ability to lead and execute within a fast-paced environment. The successful candidate will work closely with the Chief Compliance Officer and Vice President, Compliance, and contribute meaningfully to both operational oversight and high-impact initiatives as the compliance function continues to evolve. This role offers the opportunity to shape processes and influence the firm's overall compliance culture.

### **Roles and Responsibilities:**

**The AVP, Compliance is expected to lead and/or support the following key responsibilities:**

- Ensure marketing and sales communications as well as sales practices comply with to NI 81-102 and NI 81-105 standards, respectively.
- Provide advisory support and oversight for designated portfolio management functions.
- Coordinate, prepare and review prospectus renewals, amendments and related filings (proforma and preliminary).
- Develop, implement and maintain compliance related policies and procedures.
- Participate in regulatory requests including the annual IFM survey and the biennial RAQ.
- Identify gaps in processes and monitoring and recommend improvements.
- Develop and deliver compliance training materials to business units as needed.
- Coordinate and participate in annual audit review.
- Collaborate with business units in a fast-paced, high-demand environment to ensure compliance with all regulations/procedures.
- Participate in the IRC (Independent Review Committee) process including review and preparation of required reporting.
- Work as directed to provide support and willing to take initiative and ensure that all assigned compliance and administrative tasks are completed in a timely manner.
- Engage stakeholders across all levels of the organization to advance compliance monitoring and oversight.
- Administer the opt-in mailing process to ensure complete and timely delivery.
- Participate in the review of the management report for fund performance.

**HARVEST PORTFOLIOS GROUP INC.**

### **Required Experience and Skills:**

- Master's or Bachelor's degree in business, finance, economics or related field; professional designation (e.g. CFA, CPA, FRM etc.) is an asset.
- 8 plus years in compliance (including 2 years in a senior role) in a Canadian Asset Management organization.
- Outstanding skills in executing tasks efficiently and effectively.
- Exceptional organizational, communication, and analytical skills.
- Ability to work independently and collaboratively in a high-pressure environment.
- Must be open and transparent with a high degree of integrity.
- Knowledgeable and proficient use of programs such as Excel, Power Point, Word, Salesforce, SEDAR+, SEDI, etc.
- Strong understanding and knowledge of all applicable national instruments governing IFM and PM.

### **The Harvest Advantage**

- Competitive salary and benefits package.
- Positive and supportive company culture.
- Opportunity to grow your career.

Interested applicants can forward their resume with a cover letter to [resumes@harvestetfs.com](mailto:resumes@harvestetfs.com)

We thank all applicants in advance for their interest, but only those candidates shortlisted for interviews will be contacted.

*Harvest Portfolios Group Inc. is committed to creating a diverse and inclusive environment and is proud to be an equal opportunity employer. All qualified applicants will receive consideration for employment without regard to gender, ethnicity, religion, sexual orientation or expression, disability, or age.*