HarvestETFs

Compliance Analyst

Location: Oakville, Ontario (Full-time on site)

Harvest Portfolios Group Inc. is one of Canada's fastest growing ETF issuers. We are seeking a detail-oriented and collaborative Compliance Analyst to support and enhance the compliance program.

This role offers hands-on exposure across investment and operations compliance, employee personal trading, marketing collateral review, regulatory filings, and compliance administration in a fast-paced investment fund manager/portfolio manager (IFM/PM) environment. This role is for an energetic, eager individual who wants to learn, is meticulous with details and has a keen desire to grow a career in compliance, with the opportunity to gain experience ranging from daily tasks to large projects.

Role Objective

- Provide reliable operational and oversight support for Harvest's compliance programs, helping ensure policies, regulatory obligations, and internal controls are applied consistently and completed on time.
- Contribute to a risk-aware compliance culture by identifying exceptions, following up on outstanding items, maintaining accurate records, and escalating matters requiring review.

Key Accountabilities

- Conduct and support daily, weekly, monthly, and ad hoc compliance monitoring activities, including investment, operational, sales and marketing compliance, regulatory reporting, and documentation
- Maintain organized records supporting compliance reviews, decisions, approvals, audits, regulatory reviews, and internal reporting
- Assist with regulatory filings, due diligence, risk mitigation activities, audits, projects, and process improvement initiatives as directed
- Coordinate and ensure timely completion of assigned compliance and compliance-related administrative tasks
- Administer and monitor employee personal trading program
- Complete any other duties assigned by your supervisor

Job Requirements:

- 1 to 2 years of experience in compliance, operations, or risk management within the Canadian financial services industry, preferably with an investment management firm or asset manager
- Detail-oriented, organized, and eager to learn, develop or build on compliance expertise with an investment management firm or asset manager
- Takes ownership of assigned work and follows through on deadlines
- Demonstrates sound judgment and the ability to identify issues requiring escalation
- Strong verbal and written communication skills
- Ability to work collaboratively in a demanding environment
- Ability to manage multiple priorities
- Ability to communicate clearly and interact positively with all levels of the organization with limited supervision

Your Credentials:

- Post-secondary education in business, finance, compliance, or a related field; CSC or other relevant industry courses would be an asset.
- Working knowledge of securities regulation and registered firm obligations, including National Instruments 31-103, 33-109, 81-102, 81-105, 81-106, and 81-107.
- Strong Proficiency with Microsoft applications
- Strong analytical skills with the ability to work with large datasets and identify exceptions and trends.
- Experience using compliance monitoring, workflow, or business applications to track and document compliance activities.

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. 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.