

JOB TITLE: Legal Counsel (In-house)

LOCATION: Oakville, ON (Full Time)

DEPARTMENT: Compliance

REPORTS TO: CEO & President



COMPANY OVERVIEW

We are a Canadian-based exchange-traded fund (ETF) provider committed to delivering transparent, well-governed, and innovative investment solutions to Canadian investors. Our platform includes actively managed, rules based and passive strategies. We pride ourselves on robust governance, regulatory excellence, and delivering strong outcomes for investors.

ROLE SUMMARY

The Legal Counsel is responsible for providing legal and regulatory expertise across the firm's ETF product lineup. This role oversees the regulatory, governance, and disclosure obligations applicable to investment funds in Canada, with a strong emphasis on OSC requirements, prospectus compliance, ETF operational structure, and securities law driven portfolio development and restructuring.

The successful candidate will collaborate closely with Compliance, Product, Operations, and external service providers to support prospectus renewals, ETF launches, regulatory filings, and ongoing disclosure obligations. This is a strategic legal role that supports both day to day operations and broader corporate governance across the firm.

KEY RESPONSIBILITIES

Regulatory & Legal Oversight

- Support the firm's efforts to maintain compliance with NI 81 102, NI 81 106, NI 31-103, NI 41 101, and applicable OSC/CSA rules, instruments, guidance, and exemptive relief decisions.
- Act as primary legal liaison with regulators on filings, inquiries and reviews, and engage with the compliance team in regards to new policy developments.
- Provide advice and assistance to the firm's board and board committees including preparation of board materials, resolutions, governance policies and minutes for corporate and corporate funds.
- Advise on fiduciary obligations, conflicts of interest and regulatory risks.

Prospectus Renewal & Continuous Disclosure

- Lead and support the prospectus renewals and amendments process, ensuring accuracy of investment strategies, risks, fees, and operational disclosures.
- Coordinate with internal stakeholders and relevant external counsel during prospectus filings and provide advise on OSC reviews.
- Ensure timely implementation of prospectus and disclosure changes following the regulators' comments or issuance of final receipts or comments.
- Advice and lead the process on any exemptive relief required to implement amended or new strategies.

ETF Structure & Product Development

- Support the structuring and ongoing maintenance of ETF products, including index-based, active, leveraged and alternative strategies.
- Advise on new launches, strategy changes, mergers, reorganizations and fund terminations from an investment and regulatory perspective.
- Review and provide input on contracts and legal agreements between the firm and third parties that support the firm's products.

Compliance & Governance

- Provide day-to-day legal counsel on regulatory matters related to the firm's registration categories (IFM and PM).
- Provide advice on how to enhance firm-wide policies and procedures related to portfolio management, valuations, conflicts and ETF operations.
- Monitor regulatory developments and proactively assess their impacts to the business.

Reporting & Communication

- Prepare and review requisite board, independent review committee and regulatory reporting.
- Advise on and prepare draft responses to regulatory inquiries.
- Provide guidance when required on product and strategy messaging related to Sales and Marketing Communications to ensure alignment with securities law.
- Support product development initiatives, including new launches and strategy enhancements.

Qualifications & Experience

- Law Degree (LL.B. or J.D.) and member in good standing.
- 5+ years of progressive legal experience in asset management, ETFs, investment funds, or financial services regulation
- Strong working knowledge of OSC rules, National Instruments, and ETF regulatory frameworks.
- Direct experience supporting prospectus renewals, ETF launches, regulatory applications and filings.
- Familiarity with Canadian ETF operational structures.

Skills & Competencies

- Clear written and verbal communication skills.
- Strong analytical skills with high attention to detail.
- Sound judgment and ability to operate in a regulated environment.
- Ability to manage multiple priorities and meet time-sensitive deadlines.
- Collaborative mindset with the confidence to act as a leader.

WHAT WE OFFER

- Competitive compensation and benefits package.
- Opportunity to work in a growing and innovative segment of the Canadian investment industry.
- Collaborative culture with direct exposure to senior leadership and decision-making.

Interested applicants please 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.