



## **Job Description**

### **Compliance Officer, Business Conduct Compliance**

Cormark Securities Inc. is a leading independent investment dealer focused on providing comprehensive coverage of Canadian listed companies to domestic and international institutional investors from offices in Toronto and Calgary. Established in 1981 as Sprott Securities, Cormark has evolved into an industry leader recognized for its knowledge and commitment to the mid-cap and emerging growth markets. We have been rated Canada's #1 small/mid cap brokerage firm by institutional investors for five of the last seven years.

### **Responsibilities:**

Reporting to the Chief Compliance Officer ("CCO") in the Toronto office, this position is responsible for the business conduct compliance program covering registrant and firm activities in Canada and the US. The Compliance Officer, Business Conduct Compliance will also assist with the effective implementation, maintenance and administration of the overall enterprise compliance program. Accountabilities will include:

- Provision of subject matter expertise and guidance on a variety of compliance and regulatory matters expertise across the firm, including various individual and business activities and conflicts of interest
- Ensuring that appropriate policies, procedures and controls have been implemented to supervise all lines of business and individual conduct in compliance with applicable rules and legislation and maintenance of same
- Managing all applicable registrations in accordance individual and firm activities and in alignment with the firm's governance structure
- Overseeing the client onboarding and ongoing due diligence program (institutional and retail), including the provision of subject matter expertise during the end-to-end account opening process, in accordance with regulatory requirements and guidelines.
- Overseeing the Anti-Money Laundering regime, including ongoing client account review, periodic reporting and the filing of Suspicious Transaction Reports, as per applicable financial crimes related laws, regulations and guidelines
- Ensuring all applicable records (including governance structure, registration, outside activity, attestation and training, among others) are maintained in an orderly and accessible manner
- Managing annual and periodic employee attestation processes and the compliance component of new employee onboarding
- Assisting with the ongoing interaction with regulatory bodies such as IIROC and FINRA and taking a lead role in coordinating regulatory examinations
- Oversee the execution of the electronic communications monitoring program
- Monitoring of individual and firm activities in accordance with various business conduct requirements
- Working with other members of the compliance team to ensure seamless coverage of the overall compliance program
- Identify training needs and assist with the development and delivery of business conduct-related training and related industry requirements, rules and guidelines.
- Develop and maintain a high level of expertise in all applicable regulations, directives and guidance by monitoring regulatory pronouncements and active participation in industry groups and committees
- Other duties and projects as assigned, which include acting as back up for other compliance officers, including the CCO when needed

## Knowledge and Qualifications

- Undergraduate degree in business, finance, economics, law or related discipline
- Canadian Securities Course (additional securities or financial industry courses, such as Partner, Director and Senior Officer exam and US Series 7, 63 and 24 exams, are an asset)
- Minimum of 5 years of related experience at a financial institution or equivalent experience at a regulator
- Experience with the National Registration Database (NRD) system is required. Experience with the Central Registration Depository (CRD) is an asset.
- In-depth knowledge of regulatory and compliance requirements and issues in the Canadian and US securities industry, including those relating to registration requirements
- Knowledge of industry best practices regarding compliance matters
- Excellent verbal, written, and interpersonal communication skills
- Strong critical thinking and analytical skills with high attention to detail and accuracy
- Good working knowledge of applicable securities legislation and related compliance procedures
- Ability to prioritize work, meet deadlines, achieve goals, and work effectively under pressure in a dynamic and complex professional environment with many time-sensitive deliverables
- Ability to develop and manage business relationships

Cormark is built upon a foundation of teamwork, trust and integrity and is committed to conducting its business in a fair and ethical manner in full compliance with all applicable laws and regulations. Cormark aspires to high standards of excellence and professionalism in all activities. As a member of the Cormark team, you are valued and supported and will gain valuable experience and broaden your skill set. We encourage the attainment of individual goals and provide an environment that promotes growth.

If you are looking to join a dynamic compliance team within a successful independent investment dealer, we would like to hear from you. Please apply to [careers@cormark.com](mailto:careers@cormark.com).

We wish to thank all candidates for their interest, but only those applicants selected for an interview will be contacted.

*Accommodation is available to all applicants to Cormark, including during recruitment, selection and assessment processes.*

[www.cormark.com](http://www.cormark.com)