



Job Description

Compliance Officer, Investment Banking and Control Room

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 in the Toronto office, this position is responsible for the compliance program supporting the Investment Banking line of business and overseeing containment of confidential and material non-public information through effective policies and procedures. The Compliance Officer, Investment Banking and Control Room will also assist with the effective implementation, maintenance and administration of the overall enterprise compliance program. Specific accountabilities will include:

- Provision of guidance on compliance and regulatory matters to the Investment Banking business and subject matter expertise across the firm (advising on transactions, new business initiatives and new products, participation in firm commitment committees and other regulatory compliance issues)
- Monitoring and enforcement of information barriers (within the firm and between the firm and the public) and related policies and procedures, including those related to information barrier crossing
- Ensuring appropriate investment banking transaction records are maintained in an orderly manner and stored in a readily accessible location
- Responding to Requests for Information on a timely and accurate basis from both regulators and corporate clients in consultation with Chief Compliance Officer
- Attending various firm Investment Banking committees and maintaining related documentation
- Maintenance of the grey and restricted lists in collaboration with the Equity Capital Markets and Trade Desk Compliance groups
- Monitoring of Investment Banking and public side activities for containment of confidential and material non-public information across the firm
- Monitoring all firm employee trading activity in accordance with personal trading policies and procedures
- Maintenance of applicable compliance and supervisory policies and procedures in alignment with industry requirement and best practices
- Assistance with certain Investment Banking activities and mandates, such as the "peer review" process and fairness opinions, among others
- 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 of training designed to address requirements specific to Investment Banking and containment of confidential information, industry specific rules guidelines, National Instruments, and best practices
- Develop and maintain a high level of expertise in all applicable regulations, directives and guidance
- Other duties and projects as assigned, which includes acting as back up for another compliance officer when needed

Knowledge and Qualifications

- Undergraduate degree in business, finance, economics, law or related discipline
- Legal background/professional designation preferred
- Canadian Securities Course (additional securities or financial industry courses are an asset)
- Minimum of 3-5 years of related experience at a financial institution – prior Control Room or Investment Banking compliance experience preferred – or equivalent experience at a regulator
- In-depth knowledge of regulatory and compliance requirements and issues in the institutional business and the securities industry
- Knowledge of industry best practices regarding institutional 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.

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