



Compliance Officer – Vancouver

This year, Odlum Brown celebrates its 99th anniversary as an independent, employee-owned, full-service investment firm. We are honoured to be recognized as one of Canada's Best Managed Companies for 23 consecutive years and as one of Canada's Most Admired™ Corporate Cultures.

CULTURE AND VALUES

We are very proud of the vibrant culture that we have built and sustained for many years. It's the way we do things, how we make decisions and what defines which behaviours work and don't work – it's what makes up our DNA.

Our values are the cornerstone of our culture, a set of principles that provide a compass for our actions and unify us as a team.

PEOPLE

We have skiers, mountain bikers, hockey players, runners, volleyball players, movie buffs, bookworms, animal lovers, musicians, yogis, world travelers and every other variety of person you can imagine. You will work with really interesting people and make great friends, too.

COMMUNITY

We are serious about supporting the communities where we live and work. In 2020, Odlum Brown was the recipient of the Canada's Volunteer Award in the Business Leader category for British Columbia and the North. This national recognition by the Canadian government is the result of our team members' actions and continued support for various causes and organizations in our communities. We are committed in heart and mind to everything we do in the community, and we work hard to inspire passion and fun while doing it.

PROFESSIONAL DEVELOPMENT

Continuous learning matters. We are committed to providing career-long support for learning and growth.

THE OPPORTUNITY

We have an opportunity for a Compliance Officer to join our award-winning firm in the Vancouver office.

Reporting to the Vice President and Chief Compliance Officer, you will play a key role in the supervision and administration of the firm's compliance programs to ensure adherence to securities laws, regulators and company policies, procedures and ethical standards.

RESPONSIBILITIES

- Identify risks and implement appropriate actions to mitigate them
- Develop, implement, communicate, maintain and improve policies, procedures and documentation to ensure adherence to the firm's, regulatory and legal requirements, and ethical standards
- Maintain functional and regulatory expertise, and refer to Compliance Policies and Procedures manuals for requirements



- Review, administer and follow-up on all compliance-related queries, ensuring adherence to compliance-related requirements
- Consult on new products, services and automated systems to assist with incorporating compliance requirements into these initiatives
- Assist with daily, monthly and quarterly supervision requirements
- Ascertain training needs and help develop training, as required
- Identify and advise on emerging issues and trends to inform decision making
- Provide leadership to ensure Anti-Money Laundering/Anti-Terrorist Financing (AML/ATF) requirements are met
- Leverage technology and identify opportunities for increased efficiencies and effectiveness
- Monitor, assess and implement all securities regulations and legislative changes proactively

KNOWLEDGE AND EXPERIENCE

- Three to five years of experience in a Compliance department within an investment firm, or similar environment
- Approved by IIROC as a supervisor or pending approval as an IIROC supervisor
- In-depth knowledge of the operations of an IIROC-registered investment dealer and the applicable regulatory processes
- Critical thinker and skillful decision maker within a policy and regulatory framework
- Strong interpersonal and relationship-building skills with the ability to work independently and within a team
- Proven ability to effectively manage relationships, resolve challenging scenarios and facilitate resolutions
- Strong written and verbal communication and presentation skills
- In-depth knowledge of IIROC-registered investment dealer operations and related regulatory processes
- Strong organizational skills and attention to detail, with ability to lead and manage special projects
- Advanced proficiency with Broadridge Dataphile and MS Office (Word, Excel and Outlook)

Our team is growing, and we've got room for one more if you're interested. If this sounds like the environment you'd like to work in and you have the credentials and experience for this job, we invite you to submit a cover letter and resume to careers@odlumbrown.com by **December 23, 2022**.

Candidates must be legally eligible to work in Canada. Full disclosure of any restrictions must be disclosed at the time of expressing interest and supporting evidence provided prior to any potential offer of employment.

We appreciate your interest and thank you for taking the time to consider this opportunity. We will be in touch with individuals whose profiles most closely match what's needed to be successful in this role.