

US Compliance Officer, Compliance – Vancouver – Job # 3642**Summary**

Through its principal subsidiaries, Canaccord Genuity Group Inc. (the “Company”) is a leading independent, full-service financial services firm, with operations in two principal segments of the securities industry: wealth management and capital markets.

Since its establishment in 1950, the Company has been driven by an unwavering commitment to building lasting client relationships. We achieve this by generating value for our individual, institutional and corporate clients through comprehensive investment solutions, brokerage services and investment banking services.

The Company has offices in 10 countries worldwide, including Wealth Management offices located in Canada, Australia, the UK, Guernsey, Jersey, and the Isle of Man. Canaccord Genuity, the international capital markets division, operates in Canada, the US, the UK, France, Ireland, Hong Kong, China, Australia and Dubai. To us there are no foreign markets.™

Our Canadian operation, Canaccord Genuity Corp., is currently looking for a US Compliance Officer for our Compliance department. In this position you will reasonably ensure Canaccord employees and/or clients do not breach existing regulatory rules and regulations that would adversely affect the firm, or compromise any client's perception of the firm.

The position principally reports to the Manager, US Compliance in order to ensure internal policies, FINRA and SEC regulatory requirements are met, specifically with respect to Canaccord Genuity Wealth Management (USA) Inc., the firm's US registered Retail Affiliate. You will have several working relationships inside and outside the organization as follows: IA's across Canada, Legal, Compliance staff at other firms, Cdn and US Regulatory bodies and clients. The position contributes to the regulatory control of Canaccord by providing the highest standard of integrity for the firm and its clients.

Responsibilities

This position includes a fair amount of project work to ensure reporting systems and processes remain efficient.

- Review new client applications for US retail clients to ensure compliance with regulatory requirements and internal policies and procedures;
- Conduct daily trade blotter review and month end reviews for US retail accounts;
- Conduct daily review of incoming deposits of funds and securities to ensure compliance with the firm's AML and regulatory requirements.
- Oversight and tracking of legend removal processing related to sales of 1933 restricted securities;
- Follow up on any electronic communications filter issues which have been escalated for possible rule violations;
- Assist with time-sensitive tasks (eg. Audits, client complaints) quickly to avoid regulatory scrutiny and/or penalties;
- Document extraordinary queries and the result of such for reference in order to target and resolve potential deficiencies;
- Handle internal and external queries efficiently to promote business and in turn profitability;
- Ensure transactions are conducted in accordance with Canaccord Policies and Procedures Manuals and assist management in identifying and containing compliance risk and fostering a compliance culture;
- Perform additional responsibilities as assigned.

Skills & Qualifications

The successful candidate must enjoy working in a high volume environment and have the following skills and qualifications:

- At least 2 years of experience in the securities industry;
- A degree in business, accounting, law or a related field with relevant practical experience or an equivalent combination of these qualifications
- Understanding of IIROC, FINRA and SEC regulations;
- The successful candidate will have completed the US Series 7 (or 37/38) and Series 24 exams or be willing to complete these exams within 90 days.
- Completion of a combination of the Canadian Securities Course, Partners, Directors & Officers Course and the Canadian Option Supervisor Course would be an asset;
- Knowledge of Dataphile desktop and NetX360 systems would be an asset
- Excellent communication skills both verbal and written to clearly articulate facts and recommendations when presenting ideas, recommendations and solutions;
- Proficiency with MS Office particularly Word, Excel and Outlook;
- Strong organizational and planning skills with the ability to prioritize, multitask and coordinate work with others;
- Keen attention to detail;
- Works well in difficult situations, under pressure and with strict timelines;
- Flexibility and willingness to assist others as required;
- Problem solving and sound judgment skills with the ability to exercise tact and discretion are essential;
- Ability to work in a team environment and demonstrate a professional and friendly manner.

Canaccord Genuity Corp. welcomes and encourages applications from all qualified individuals including persons with disabilities. We will provide reasonable accommodations upon request for candidates taking part in all aspects of the recruitment and selection cycle.

Qualified applicants are invited to submit a resume and covering letter including salary expectations. All applications will be held in strict confidence. To apply, please [Click Here](#). *We recommend that all internal applicants advise their direct manager/supervisor about their interest in other job opportunities prior to sending in their job application.*

In order to be considered for employment at Canaccord Genuity, candidates selected for interviews will be required to show proof of citizenship, permanent residence or eligibility to work in Canada with no restrictions.

We wish to thank all candidates for their interest but only those applicants selected for an interview will be contacted. No phone calls please. Thank you for your understanding.