

## *Canada's Investment Industry Faces*



### **Joe Sierpina**

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Vancouver, BC**

#### **How long have you worked in the industry?**

I just celebrated my 17<sup>th</sup> anniversary in the industry, all of which has been with BMO Nesbitt Burns.

#### **Please tell us about any volunteer activities you may be involved in.**

I am a strong supporter of the BC SPCA, an organization dedicated to protecting and enhancing the quality of life of animals in British Columbia. We regularly visit the local shelters, spend time with the animals, and we bring them treats to enjoy and toys to play with. I am also very active in the running and triathlon community. I have volunteered at many local races in efforts to give back to a community that has supported me throughout the years in the many races that I have competed in.

#### **Please tell us a bit about your average day in the office.**

My day always starts with a coffee. From there, I do my daily surveillance reviews which include previous day's production reviews of all Branch Managers in my region. I can always bank on a few conference calls throughout the day on various topics including weekly compliance updates with my team, calls on branch issues or national conference calls on a new policy rollout. I regularly maintain special initiatives and projects that I believe will add value to our region and I like to reach out to key partners at our head office in an effort to collaborate on ways we can make our compliance program as robust as it can be.

#### **What drove your interest to work in the investment industry?**

From a very, very early age I had this affinity for money. I would always be seeking ways to earn an extra dollar whether it was generated from car washes, pop bottle drives or lemonade stands. I would save this hard-earned money and purchase bikes or other fun things I liked at the time. The problem was my "assets" seemed to get stolen a lot. As I entered my adult years I knew the investment industry was the industry for me, but the direction I found myself heading

in over time was in the area of asset protection or compliance. I find it extremely satisfying that the work we do helps protect our industry, our employees, my firm and all of our clients so they can continue to spoil their children with new bikes and fun toys that I too enjoyed.

**Do you find the work you do satisfying? If yes, why?**

Extremely. For 17 years, and more recently, I have been very fortunate to have been surrounded by such talented and inspiring colleagues. Having influential, positive people as a part of my career directly correlates with the work I do and the satisfaction that I get from it. My current role allows me to use my expertise and creativity to help deliver positive results. In addition, I have the opportunity to help coach others around me and help them achieve the goals and aspirations that they desire from their careers.

**How do you see the industry helping investors and the Canadian economy as a whole?**

With my compliance hat on I have to say that strong regulation will only help drive the economy forward. The industry has never been more transparent than it is right now. Today, the standards that have to be met allow investors to be confident in the decisions they make and the advice we give them. Investors want to know that our regulatory obligations are being upheld and when they know that, we are building trust and loyalty. These positive relationships provide for great client experiences which get shared throughout communities and continue to strengthen our reputation.

**Would you recommend a career in the investment industry to a young Canadian considering his/her career options? If yes, why?**

Absolutely. The investment industry is dynamic and so diverse with some companies having many lines of business to carve your career from. The growth potential is unlimited and the opportunity is there for anyone with the right attitude and drive to succeed.