

Senior Vice President, Compliance at Canaccord

June 7, 2019

Opportunity:

Our client Canaccord Genuity Corp. is growing! As part of its growth, the Chief Compliance Officer is adding the new role of Senior Vice President, Compliance to its management team.

Through its principal subsidiaries, Canaccord Genuity Group Inc. (“Canaccord”) is a leading independent, full-services financial firm, with operations in two principal segments of the securities industry: wealth management and capital markets. Since its establishment in 1950, Canaccord has been driven by an unwavering commitment to building lasting client relationships. Canaccord achieves this by generating value for their individual, institutional and corporate clients through comprehensive investment solutions, brokerage services and investment banking services.

Canaccord Genuity Group has Wealth Management offices located in Canada, the UK, Guernsey, Jersey, the Isle of Man and Australia. Canaccord Genuity, the international capital markets division, operates in North America, UK & Europe, Asia, Australia and the Middle East.

Working directly with the Chief Compliance Officer based out of Vancouver and a team of 30 across Canada, the successful candidate will bring strong knowledge of compliance within a full-service financial firm. With a mature and positive demeanor, the successful new leader will help drive regulatory adherence as key problem solver and advisor to staff across the organization.

What You’ll Do:

- Advise Chief Compliance Officer with respect to all compliance and regulatory requirements;
- Oversee registrations, complaint handling, trade oversight and account opening;
- Keep apprised of changes and ensure adherence to Industry rules and regulations;
- Ensure process & procedures are in place for strengthening regulatory compliance while continuing to support other business units;
- Provide support for compliance involvement with new business initiatives and ongoing development;
- Review and provide approval for high-level requests from other business units;
- Respond to regulatory requests in a timely and effective manner;
- Serve as liaison for regulatory inquiries and coordinating responses to Regulators ensuring tasks are completed quickly to avoid regulatory scrutiny and/or penalties;
- Investigate and communicate with appropriate staff regarding any issue which may be a concern; resolve concerns and communicate resolutions in a timely manner;



- Promote and encourage a culture of compliance and ethics throughout other business units;
- Build relationships with other department managers and provide internal training on new rules and regulations to business units as applicable;
- Work with compliance colleagues in other jurisdictions;
- Perform other responsibilities as assigned

What You Bring:

- A minimum of 10 years of experience in the Securities industry. Proven and progressive experience with full-service financial firms' operations, compliance or equivalent;
- Solid understanding of all significant regulatory compliance requirements, laws and regulations including IIROC and FINTRAC - Familiarity with FINRA would be an asset;
- Successful completion of PDO is required. Related Securities industry courses such as CSC, CPH, Derivatives will be considered an asset;
- Trusting and respectful relationship with Regulators across Canada.

Who You Are:

- Collaborative leader with excellent interpersonal skills and strong verbal and written communication skills; A team leader who empowers staff and mentors throughout the organization;
- A true problem solver known for creating and implementing new processes and procedures aimed at improving compliance organization-wide;
- You excel in a fast-paced environment where multitasking and managing competing priorities is a regular part of the day;
- You are highly adaptable and able to deal well with change in a calm and respectful manner;
- Secure and self-confident, you bring good judgment and the ability to make sound decisions;
- You are analytical with great problem-solving skills; able to identify and implement successful solutions for all stakeholders.

What You'll Get:

- A competitive base salary and bonus plan
- 4 weeks' vacation
- Ability to participate in the Canaccord Employee Share Purchase Plan
- Pension matching
- Health & Dental coverage
- A great challenge within a reputable organization with global reach