

LEGAL/COMPLIANCE OFFICER

Background

Burgundy Asset Management Ltd. is a global investment manager providing discretionary investment management for private clients, foundations, endowments, pensions and family offices. We strive to protect and build client wealth over the long term. Burgundy is registered in all the provinces of Canada as a Portfolio Manager and as an Investment Fund Manager in the provinces of Ontario, Quebec and Newfoundland & Labrador. Burgundy is also registered as an Investment Adviser with the Securities and Exchange Commission (SEC). Further information about Burgundy can be obtained at www.burgundyasset.com.

Position Summary

Reporting to the Chief Compliance Officer (CCO), the Legal/Compliance Officer will be a member of Burgundy's Legal & Compliance Department and support the CCO and the team by assisting with regulatory analysis, core compliance monitoring, policies & procedures maintenance, legal document review, and regulatory projects, etc. The Legal/Compliance Officer must maintain regulatory awareness by supporting the team in the communication of regulatory changes to impacted departments, and providing guidance on appropriate action.

Key Responsibilities

- Provide analysis and recommendations for implementation of relevant regulatory rules.
- Assist in research and analysis for various compliance related issues.
- Develop, maintain, implement and update the firm's policies and procedures and any other documents, as directed, that are designed to detect and prevent violations of securities laws.
- Review fund documents, legal contracts, and other regulatory documents and assist in negotiation process.
- Document and assist with the implementation of compliance practices, reviews and training programs, etc.
- Support key processes and activities such as personal trading and vendor oversight.
- Conduct, as may be periodically assigned, high quality internal compliance monitoring to ensure the effectiveness of compliance procedures and operational controls are adequate and/or are operating effectively and ensure follow-up actions are taken.
- Assist in building and improving on all regulatory and compliance functions.
- Ensure all regulatory filings are completed in an accurate and timely manner.

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Expectations

- Maintain high-quality and detail oriented work product.
- Encouraged to bring forward new ideas on how to improve processes and productivity.
- Keep current on any regulatory developments that affect our business.
- To work within the team, to foster an environment of learning, cooperation and excellence.

Qualifications

- Minimum 5 years compliance experience in the asset management industry in a compliance related, legal or regulatory role preferred.
- University degree or equivalent. Legal degree an asset.
- Superior written and oral communication skills
- Understanding of the requirements of NI 31-103 and related instruments and the *Ontario Securities Act*.

Other Skills

- Ability to work independently in a dynamic environment, demonstrate a high degree of initiative and a strong sense of meeting deadlines.
- Organized, excellent time management, communication and prioritization skills.
- Must possess a professional attitude and adhere to a high ethical standard.
- Ability to work with internal and external stakeholders on sensitive matters and coordinate timely response to request for information and/or process amendments as required.
- Maintain strict confidentiality and respect in dealing with confidential and personal information.
- Proficiency in MS Office, particularly Excel, Word, and PowerPoint.
- French language skills an asset.

Apply to: ComplianceCareer@burgundyasset.com