



## Registrations Administrator – Vancouver

This year, Odlum Brown celebrates its 96<sup>th</sup> 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 20 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. 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 Registrations Administrator to join our award-winning firm in Vancouver. This role reports to the Vice President, Compliance and works closely with Compliance Officers, Investment Advisors, Assistants and other departments within our Client Services operations.

As a Registrations Administrator you are responsible for ensuring compliance rules and regulations, relative to securities registration are met. Your key accountability will be to manage and maintain all aspects of registration, licensing and errors & omission (E&O) insurance with various regulatory bodies, including Investment Industry Regulatory Organization of Canada (IIROC), provincial Securities Commissions and U.S. Securities Regulators.

### **RESPONSIBILITIES**

- Liaise with registrants and regulators regarding registrations, licensing, continuing education and compliance
- Serve as registrations subject matter expert by providing guidance to registrants on registration and regulatory issues
- Process annual firm, registrant, and branch securities registration renewals



- Resolve discrepancies between internal records of firm, individual and branch registrations on the National Registration Database (NRD) system
- Reconcile and verify all registration fees withdrawn on the NRD system, annually
- Conduct detailed securities registration checks for new employees, utilizing multiple regulatory systems and resources:
  - Perform comprehensive pre-hire review and analysis of candidates
  - Evaluate candidates with financial, criminal, legal and regulatory disclosures
  - Determine candidates' eligibility for registration and licensing based on industry and firm suitability standards
- Facilitate, coordinate and support the transfer and on-boarding of new hires
- Develop and generate new and existing reports within the Registrations department
- Execute regulatory disclosures and material changes to registrant's permanent NRD record relating to outside activities, legal, criminal and financial issues within defined timelines
- Administer continuing education credits
- Keep abreast of industry changes and requirements for registrations and continuing education
- Develop recommendations and solutions for continuous improvement to procedures and policies
- Collaborate with other departments on a daily basis
- Participate in various projects and initiatives contributing broadly to the firm

## KNOWLEDGE AND EXPERIENCE

- 2-3 years of related experience in the financial services industry, specifically in Compliance or Registrations
- Fluent understanding of legal documentation relating to bankruptcy, civil proceedings, criminal charges and financial matters
- Ability to manage numerous complex filings and meet deadlines to ensure successful completion
- Strong MS Office skills (Word, Excel and Outlook)
- Ability to establish and maintain strong working relationships with internal and external stakeholders
- Excellent verbal and written communication skills
- Superior time-management, multi-tasking and organizational skills with a strong attention to detail
- Experience with NRD and Broadridge Dataphile platforms is an asset
- Completion of Canadian Securities Course or other investment related courses is an asset

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 [hr@odlumbrown.com](mailto:hr@odlumbrown.com) by **April 11, 2019**.

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.