Compliance Officer

CNSX Markets Inc., owner and operator of the Canadian Securities Exchange ("CSE"), is an exchange recognized by the British Columbia Securities Commission and the Ontario Securities Commission. We are experiencing record growth and are expanding the Office of the General Counsel ("GCO"). Currently we are looking for a Compliance Officer to join the team.

The Compliance Officer contributes to the success of the company by facilitating enterprise-wide compliance oversight and governance, with respect to regulatory and policy obligation management activities to mitigate compliance risk. The Compliance Officer supports the Manager, Compliance and Policy and acts as a trusted advisor to stakeholders across the enterprise with regard to the compliance management process.

Accountabilities

- Support enterprise-wide compliance management process;
- Promote a consistent approach to manage regulatory changes and implement industry best practices;
- Interprets regulations and assesses impacts to the CSE;
- Develops compliance reports and dashboards, tools, checklists and communications to address gaps, issues and new requirements;
- Evaluate compliance risk and provide appropriate reporting and escalation as required;
- Aids in the review and assessment of the internal controls system and framework;
- Conducts compliance and risk audits/reviews for securities laws provisions (including securities regulatory authorities' orders, national instruments, statutes and regulations) and CSE policies, procedures, and codes; review and assess processes and procedures
- Maintain and enhance the regulatory and legal compliance management related enterprise documentation;
- Advise and provide support to internal stakeholders in management of compliance matters;
- Assist in the oversight and management of compliance breaches;
- Design, develop and deliver training materials required to operationalize and sustain compliance obligation management activities and processes;
- Respond to testing and audit inquiries and facilitate remediation of identified deficiencies or findings with respect to compliance management;
- Support other compliance duties and projects, as required

Relationship Management

- Work collaboratively with peers across the enterprise and the GCO
- Participate in townhalls and other company forums and meetings that will facilitate operationalization and awareness of compliance obligation management process
- Build and foster effective relationships and working collaboratively with business management, project teams, first line of defense, corporate functions and other stakeholders on enterprise initiatives
- Effectively liaise with business partners to ensure the timely execution and completion of the initiatives or specific internal and regulatory deliverables.

Skills

- Compliance background
- Regulatory interpretation
- Personal trading reviews
- Familiarity with regulatory environment for exchanges and exchange functions

- Excellent problem solving, analytical, research and influencing skills
- Strong relationship management, communication and interpersonal skills
- Self-starter with excellent time management skills and proven track record of meeting deliverables
- Strong written and verbal skills to prepare documentation, deliver presentations and interact effectively with business lines and other departments

Education / Experience / Other Information

Bachelor's degree with a minimum of 5 years of experience in Regulatory Compliance, Audit or Risk Management in a financial/securities services environment with the following skills and attributes:

- Ability to interpret rules and regulations and to independently assess the impact of those requirements to different areas across the company
- Solid understanding of regulatory compliance and risk management processes
- Familiarity with Canadian marketplace rules
- Advanced skills in Microsoft Excel
- Integrity and discretion
- Solid understanding of internal control and risk frameworks, including compliance risk assessment process
- Excellent leadership, teamwork, organizational and interpersonal skills; close attention to detail
- Ability to manage multiple compliance initiatives concurrently and meet deadlines under pressure
- Flexibility to work on a variety of different tasks independently and with limited supervision
- Ability to readily recognize the impact of current or potential compliance issues
- Excellent written and verbal communication skills, ability to simplify complicated messages relating to compliance and risk matters
- Successful completion of the Canadian Securities Course or other similar courses is a plus

Job Type: Full-time

COVID-19 considerations:

Full COVID-19 Protocols are currently in place. Office of the General Counsel Staff will work remotely until further notice.

Please submit your application to Julia.Campbell@thecse.com

The CSE thanks all applicants for their interest, however only those selected for interview will be contacted.