



## COMPLIANCE MANAGER & INVESTMENT ANALYST

*We believe in forging long-lasting relationships to create positive change in our communities. We're building something greater in each pillar of Peterson including real estate investment, development, property management, capital lending, public securities and private equity. As we continue to grow, we stay true to our values by putting relationships first, standing by our word and striving for something greater in everything we do.*

Based out of downtown Vancouver, we are looking to add a full-time **Compliance Manager and Investment Analyst** as a key member of Peterson's new and growing business, Peterson Advisors Corp. Reporting to the Chief Compliance Officer, this position will establish and execute compliance programs, and manage all aspects of governance and regulatory change management. In addition, the role is expected to assist the investment team in terms of idea generation, research and analysis over time.

The ideal candidate will have relevant investment fund experience to help Peterson manage various securities and real estate funds over time and the desire to grow his/her career into Chief Compliance Officer. The successful candidate will have well-developed organizational skills and the ability to perform multiple tasks, deal with interruptions and meet deadlines. The role is best suited for someone who is able to advise and influence with integrity to achieve organizational goals.

### Responsibilities

- Lead the compliance program - governance, controls, policies/procedures and reporting;
- Maintain integrity of compliance program by performing periodic compliance risk; assessments and ensuring compliance issues are identified, addressed and escalated;
- Stay current with the regulatory environment and ensure internal compliance program incorporates any new laws and regulations;
- Assist with internal and external audits and ensure all regulatory registration and filing obligations are met;
- Develop an effective process to onboard clients, including those who are non-Canadian residents or entities such as trusts, limited partnerships and corporations;
- Create an effective system of client and file documentation for both internal compliance and regulatory purposes;
- Address and respond to regulatory inquiries as required;
- Assist investment team on analysis, research and investor relations functions
- Assist in other aspects on the business as required.

### Qualifications

- A combination of experience and qualifications required to register as a "Investment Fund Manager – Chief Compliance Officer" as set out in the National Instrument 31-103 section 3.14 ([https://www.bsc.bc.ca/-/media/PWS/Resources/Securities\\_Law/Policies/Policy3/31103-NI-June-12-2019.pdf](https://www.bsc.bc.ca/-/media/PWS/Resources/Securities_Law/Policies/Policy3/31103-NI-June-12-2019.pdf));
- 3 years of relevant securities industry work experience;

Something Greater



- CFA Charterholder;
- Functional knowledge of Canadian registration and filing requirements;
- Experience with using reporting portals such as SEDAR and NRD;
- Reasonable understanding of securities offered to investors, specifically real estate related;
- Proven analytical and problem-solving skills.
- Ability to develop positive and professional relationships with senior management and clients while practicing excellent verbal and written communication skills; and
- Strong time management skills, attention to detail and an innovative problem solver.

Start challenging yourself today in an environment that embraces diversity and rewards innovation with competitive pay and great benefits. We have an exceptional work culture that emphasizes integrity, entrepreneurship, relationships, and gratitude. We pride ourselves on supporting every team member's growth, and helping people find their purpose. To join our team, please send your resume and cover letter to: [careers@petersonbc.com](mailto:careers@petersonbc.com)