



Job Vacancy – Chief Compliance Officer
Permanent, Full-Time or Part-Time
\$150,000-\$160,000 per year (Based on FT Hours)

Remote or in Campbell River, Comox, or Victoria

Who we are

Located in beautiful Campbell River, BC, Alitis Investment Counsel is an employee-owned boutique investment firm focused on outstanding client service, intelligent financial strategies, and a hands-on approach. Established in 2009, Alitis emerged in response to the demand for investment solutions designed to protect investors against market fluctuations. Inspired by the investment strategies of the world's leading pension plans, Alitis has redefined investment management by incorporating alternative investments such as private real estate, private equity, and private mortgages. This approach aims to mitigate market volatility and thereby safeguarding our clients' wealth.

The firm proudly manages over \$460 million in assets, has over 20 team members, and has offices in Campbell River, Comox and Victoria.

The opportunity

We are currently on the lookout for our next C-Suite role, our Chief Compliance Officer. This role will be the first and last eyes on our work as an investment firm, ensuring that we remain compliant at all times as a firm and as the individuals acting on its behalf with securities legislation. The ideal candidate will be someone who embodies integrity and has a defined sense of right and wrong. As a regulated industry, our firm's reputation is of the utmost importance to us. Our new Chief Compliance Officer will help us make sure we are maintaining the highest standards possible.

As the ideal candidate, you inherently know the laws and regulations for our industry and are on top of any changes to the legislation. You will be the in-house compliance expert, guiding the CEO, Board of Directors, Executive Team, and staff on what compliance looks like and how Alitis will maintain its compliant status. Your ability to build understanding around and convey the importance of compliance will encourage managers and employees to recognize and report improprieties and non-compliant activities. The Chief Compliance Officer will review, monitor and build effective and efficient policies and procedures and ensure they are understood and respected by all who work at Alitis.

A day in the life...

Develop Compliance Excellence

- Establish and maintain policies and procedures for assessing compliance by the firm, and individuals acting on its behalf, with securities legislation
- Monitor and assess compliance by the firm, and individuals acting on its behalf, with securities legislation
- Develop Alitis' annual compliance work plan, including the risks that will be monitored by the compliance function
- Conduct an annual risk and insurance assessment using an enterprise-wide approach
- Oversee and monitor the implementation of the compliance program, including:
 - Compliance of Anti-Money Laundering rules for all companies and divisions

- Compliance of Alitis Wealth Planning Inc. in accordance with the Insurance Council of BC guidelines (plus other provincial regulators where Alitis may be licensed)

Maintain Strong Stakeholder Relationships

- Act as the Company's Privacy Officer and Money Laundering and Terrorist Financing Reporting Officer
- Act as primary contact for Alitis' regulatory legal counsel for all current registration and proposed registrations nationally
- Liaise with and report to industry regulators, governing bodies, and councils, including FINTRAC
- Respond to government, public, and industry investigations and queries as the principal point of contact for Alitis in compliance-related situations
- Vet and approve all marketing materials for Alitis Group including, but not limited to, digital marketing, print ads, and the Alitis website
- Monitor external audit review processes, maintain awareness of compliance issues, and, in conjunction with Alitis' appointed securities lawyers and senior management, respond to administrative inquiries related to compliance issues or audits

Act as In-House Expert

- Report to the Ultimate Designated Person (UDP) or Board of Directors if non-compliance with securities legislation have been detected
- Prepare and submit quarterly reports to the Board of Directors assessing compliance with securities legislation
- Independently investigate and act on matters related to compliance
- Maintain current knowledge of laws and regulations applicable to the Alitis group and keep abreast of recent changes
- Maintain and update the Alitis Policy and Procedures Manual
- Chair the Investment Oversight Committee meetings
- Actively participate in strategic planning for the Alitis Group as a key member of the executive team
- Develop and deliver on other special projects requested by the CEO and other executives

What you bring

- Bachelor's degree in Finance, Business, Accounting or similar
- Professional designation as lawyer, Chartered Financial Analyst, Chartered Professional Accountant or equivalent
- Meet the requirements of a Compliance Officer at an IFM (Investment Fund Manager) and PM (Portfolio Manager Firm) as outlined in NI 31-103
- 3+ years' experience working in a compliance capacity
- Outstanding verbal and written communication skills with an ability to clearly convey complex information to appropriate stakeholders
- Exceptional attention to detail and keen ability to work efficiently but accurately
- Excellent organizational and time-management skills, with the ability to work to tight deadlines in a fast-paced environment
- Ability to travel to the offices at least twice per year and travel to compliance conferences as needed

**Compensation**

\$150,000-\$160,000 annual salary (based on FT hours)

Total compensation consists of a base salary, a team bonus, flexible schedule and work environment, and a comprehensive group benefits program, including an employer-funded group RRSP.

How to apply

Sound like a fit? Send your resume with your name + **CCO - Alitis** in the subject line to careers@reimaginework.ca.

We come from a range of backgrounds and diverse lived experiences – this makes us better at what we do. We strongly encourage applications from all people including those from marginalized communities, such as BIPOC, LGBTQ2s+, and people with disabilities.

Alitis is an equal-opportunity employer. We are committed to creating a diverse environment. All applicants will receive consideration for employment without regard to race, colour, religion, gender, gender identity or expression, sexual orientation, national origin, genetics, disability, or age.

We can't wait to meet you.

We thank all candidates for their applications; however, only shortlisted candidates will be contacted.