



Capstone Asset Management Inc. is a Portfolio Manager, Investment Funds Manager and Exempt Market Dealer serving clients in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Quebec, New Brunswick, Nova Scotia, Prince Edward Island and Newfoundland & Labrador.

Holding to Biblically informed values, we provide discretionary investment management and mandate specific solutions to clients including high net worth individuals and families, institutions, pensions, foundations, family offices, and third-party Portfolio Managers.

**Title: Compliance Administrator**

*Reporting to:* Chief Compliance Officer

*Location:* Langley, BC

*Summary of Position:*

The Compliance Administrator works with a team of three other compliance professionals to support the firm's culture of compliance by assisting with policy development, monitoring, reporting and administrative tasks. This role ensures the firm's adherence to regulatory requirements and internal policies and procedures, facilitates individual employee compliance and maintains efficient compliance processes while supporting broader organizational goals. The incumbent in this role holds strong competencies in policy and procedure development and application, risk management, and problem solving.

*Duties & Responsibilities:*

**Compliance Task Management/Administration, Monitoring & Reporting**

- Assist in drafting, reviewing and updating compliance policies and procedures.
- Review incoming documentation to ensure completion.
- Ensure proper dissemination of compliance policies to employees.
- Coordinate employee compliance training sessions and maintain attendance records.
- Manage the approval process including Legal Entity Identifiers, internal compliance approvals, Exempt Distribution Reports, and AML Reports, among others.
- Set up registrant applications, tracking the process where required.
- Lead the annual attestation process by registrants.
- Facilitate communication of trade instructions to others within the firm, as required.
- Prepare for and/or support the department with client meetings, as required.
- Support the completion of regulatory audits, examinations, sweeps and reviews.
- Correspond with the regulators, submitting materials where and when required.
- Attend conferences as necessary.

**Administrative Support**

- Manage compliance documentation and ensure processes move forward both effectively and efficiently.
- Maintain compliance logs, records and registers.
- Generate reports and summaries for senior management and regulators as required.
- Respond to compliance-related queries from employees and provide guidance on internal policies.

- Plan and support the quarterly compliance meetings.
- Correspond with lawyers and other associates regarding the compliance function and compliance related topics.

### **General Support**

- Support projects and initiatives aimed at enhancing the firm's compliance framework.
- Collaborate with other departments to support a culture of compliance across the firm.
- Manage schedules and calendars for senior compliance leaders, including organizing meetings, appointments and travel arrangements.
- Assist in prioritizing projects and tasks for department leadership.
- Serve as a liaison between compliance leadership and other departments for scheduling and communication.

### *Qualifications, Skills & Experience*

- Bachelor's degree in Finance, Law, Business Administration or a related field.
- 2+ years of experience in compliance, legal or financial services administration, preferably within the investment management industry.
- Familiarity with investment management regulatory frameworks required.
- Strong organizational and time management skills, with the ability to balance multiple priorities.
- Proven ability to comprehend and produce technical documents.
- Proficiency in the Microsoft Office Suite.
- Excellent written and verbal communication skills.
- Ability to handle confidential information with a high level of integrity and discretion.
- Willingness to complete industry courses; compliance-related certifications are an asset.

### *Competencies :*

- Accountability
- Compliance
- Customer Orientation
- Effective Communication
- Problem Solving & Innovation
- Relationship Building
- Results Focus
- Domain Knowledge
- Risk Management
- Investigations
- Decision Making
- Policy & Procedure Knowledge
- Strategic Thinking

Please forward your resume and cover letter, in confidence, to [careers@capstoneassets.ca](mailto:careers@capstoneassets.ca)

Capstone Asset Management thanks you for your interest ; however, only candidates selected for an interview will be contacted.

