

ARDENTON

Chief Compliance Officer

Company Description

Ardenton Capital Corporation (“**Ardenton Capital**”) is a global private business investment corporation, focused on meaningful business partnerships and long-term growth. Investing alongside passionate owners and management teams, Ardenton Capital acquires stakes in profitable, well-established, cash-flowing private businesses. Ardenton Capital works to remove constraints for its business partners and provides operating and financial support with a long-term view on value creation. Ardenton is actively expanding its global Business Development teams to secure the capital required to realize its substantial market opportunities. Ardenton Capital has offices in Vancouver, BC, Edmonton, AB, Toronto, ON, Guelph, ON, Dallas, TX, Philadelphia, PA, Chicago, IL, London U.K. and Manchester, U.K.

Ardenton Financial Inc. (“**Ardenton Financial**”) is a registered exempt market dealer and the captive dealer to Ardenton Capital.

Position Summary

Based in Vancouver, BC, the Chief Compliance Officer (“**CCO**”) is responsible for developing and implementing compliance policies and procedures, and providing education and training, for Ardenton Financial and its staff. The CCO must have an understanding of exempt market dealer specific regulatory matters, familiarity with securities legislation and regulations generally, and have experience with the distribution of exempt market securities domestically and to foreign jurisdictions. The CCO position reports to the Ultimate Designated Person (“**UDP**”) and works collaboratively with the Legal and Investor Services group that serve Ardenton Capital and Ardenton Financial.

Scope of Responsibilities

- Oversee the compliance and supervision functions for Ardenton Financial and its staff;
- Develop and/or direct the formulation and maintenance of compliance policies and procedures including related internal controls, training, independent testing, and recordkeeping requirements;
- Provide training and guidance to staff on compliance matters and emerging regulations;
- Perform impact and risk assessments of new and emerging regulation;
- Identify product knowledge gaps and training needs relating to products and regulatory conduct;
- Develop performance targets for compliance functions and performance assessments on staff involved in compliance functions;
- Create and maintain a compliance and supervision schedule for Ardenton Financial and ensure the required activity is completed;
- Prepare and present materials relating to product due diligence, policies and procedures, and conflicts of interest, for review and deliberation by the Independent Review Committee;
- Monitor and escalate all exceptions and violations;
- Implement UDP and Board direction in response to escalations;
- Maintain client complaint policies and procedures ensuring that all complaints are dealt with effectively, fairly and expeditiously. Undertake a full and timely review and report findings to the regulators, the client, management and the Board as appropriate. Maintain proper records of all complaints;

Vancouver

1021 West Hastings St
Suite 2400
Vancouver, BC V6E 0C3

Edmonton

2607 Ellwood Drive SW
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Guelph

160 Research Lane
Suite 205
Guelph, ON N1G 5B2

Toronto

100 King Street W
Suite 5600
Toronto, ON M5X 1C9

Dallas

10 Crescent Court
Suite 700
Dallas, TX, USA 75201

Manchester

3 Hardman Street
2nd Floor
Manchester, UK M3 3HF

- Ensure all regulatory reporting and gatekeeper reports are filed on a timely basis;
- Ensure compliance with applicable privacy, advertising, social media, cyber-security, and other relevant legislation, regulations, and policies;
- Review, approve, and control all promotional and marketing materials developed in relation to the products distributed by Ardenton Financial;
- Prepare annual, quarterly, and ad hoc, reports to the Board including information of key performance and risk indicators and trend analysis;
- Serve as primary contact with the British Columbia Securities Commission (“BCSC”) and other regulatory bodies on compliance issues;
- Participate in committees both internally and externally as required;
- Maintain continuing education (“CE”) requirements under BCSC’s CE program;
- Maintain currency in all compliance responsibilities and engage in professional development to enhance skills and expertise.

Knowledge and Skills:

- Minimum 5 years in a senior compliance role with a BCSC regulated dealer, preferably in the role of registered CCO;
- In-depth understanding of the Canadian securities industry including relevant legislation, rules, and policies;
- Ability to build and maintain strong relationships and effective partnerships with internal and external stakeholders;
- Ability to speak truth to power and deliver effective challenges in the execution of the CCO responsibilities;
- Exceptional communication skills, both verbal and written;
- Capable of handling multiple high-priority tasks and meeting strict deadlines.

Qualifications

Education and Qualification Requirements:

- Undergraduate degree; (JD or LL.B, CA, CMA, CFA considered an asset);
- Canadian Securities Course;
- Chief Compliance Officers Qualifying Examination; or
- Partners, Director and Senior Officers Course; and
- Industry experience necessary for registration with securities commissions in role of CCO.

Unrestricted right to work in Canada is required.

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