



British Columbia Securities Commission

Senior Compliance Analyst Dealer Compliance Capital Markets Regulation

Centrally located in downtown Vancouver, the British Columbia Securities Commission (BCSC) strives to make the investment markets benefit the public – enabling people to achieve their financial goals, enterprises to grow, and British Columbia to thrive. Through smart rules, diligent oversight, strong enforcement and reliable guidance, we act as guardians of the province’s investment marketplace, striving to make BC a place where people can invest with confidence and companies can flourish. We are an independent agency accountable to the provincial legislature and the public through the Minister of Finance.

Role

Become a part of the rapidly evolving Dealer Compliance team in Capital Markets Regulation (CMR). We regulate a broad range of registrant activities, including all of the firm registration categories and take compliance action where we see unregistered activity in violation of the *Securities Act*.

This senior position is an important one that focuses principally on surveying the activities of unregistered market participants, dealing with them and their counsel, and recommending practical outcomes that range from registration to enforcement prosecution. The role:

- is pivotal to a number of ongoing CMR initiatives
- involves the development of review programs for noncompliance by market participants in the private capital market
- requires active participation in compliance reviews of unregistered businesses
- works closely with similar activity in other CSA jurisdictions
- connects the BCSC with other provincial agencies’ activities
- requires the analysis of complex business structures and applicable securities law
- provides ongoing statistical information about capital raising in the private capital market in BC

You will work closely with the Legal Services, Compliance and Registration teams in CMR, and with the Corporate Finance Compliance and Investment Fund teams. You will participate periodically in the CSA registrant regulation committee and make contributions to policy outcomes.

Qualifications

You are a lawyer or an accountant with several years of securities, compliance and/or investigative experience, or you have an equivalent combination of education and experience. You also have a good understanding of securities law and excellent analytical and communication skills. The role envisages that you will work autonomously, think creatively and have a strong desire to expand the BCSC's role in the private capital market.

We offer a challenging and rewarding work environment, and a competitive compensation package that includes a defined benefit pension plan and four weeks of annual vacation. Visit <https://www.bcsc.bc.ca/about/careers> to explore this exciting opportunity and apply online by **May 11, 2021**. Competition **21:128**. Candidates must be authorized to work in Canada. Investment restrictions apply. We are an equal opportunity merit-based employer.