CAPITAL MARKETS

HAYWOOD

RESTRICTED SECURITIES ADMINISTRATOR

Haywood Securities is currently recruiting for a full time Restricted Securities Administrator to join its Vancouver Compliance Department. To be successful in this role candidates must be able to demonstrate their commitment to providing exceptional customer/client service, attention to detail and a willingness to take on new responsibilities and challenges as they arise.

Responsibilities include:

- Clear restricted and legend securities under applicable US and Canadian securities acts; liaising with various legal counsel and transfer agents as required;
- Review documentation for acceptable compliance and escalate due diligence reviews as required;
- Conduct research on U.S. Securities for further Compliance approval;
- Monitor sales of U.S. securities; review for and conduct SEC filings in relation to Insiders/Affiliates sales;
- Review deposited restricted/legend securities for required documentation; seek Compliance approval as required. Review U.S. security transfer requests for need to re-legend security positions;
- Respond to client inquiries in a professional, timely and concise manner;
- General administrative duties as assigned by the Manager or CCO.

Skills and Qualifications:

- Minimum 3 years of brokerage industry experience;
- Exceptionally strong ability to prioritize and handle multiple assignments and deadlines;
- Professional demeanor in all forms of interpersonal communication;
- Proactive approach to job responsibilities. Flexible personality to take on new challenges as they arise and ability to excel within a team environment;
- Proficiency with all Microsoft Office applications;
- Proficient usage of ADP Broadridge (Dataphile) application.

If your background and experience is well suited to this role please submit your resume and cover letter to careers@haywood.com.

We would like to thank all candidates for their interest in this position, however only qualified candidates will be contacted.