

**Peters & Co. Limited (Peters & Co.)** is a renowned full-service investment dealer with over 50 years of specialization in the Canadian energy sector. Established in 1971, our firm, located in Calgary, boasts a team of approximately 75 professionals. We provide comprehensive investment services to institutional investors and private clients, maintain our own trading group, conduct specialized and thorough investment research in the Canadian energy sector, and actively serve as underwriters and financial advisors to companies in the Canadian energy industry. Our extensive experience is evident through our significant involvement in numerous merger and acquisition transactions both in Canada and internationally.

### **Role Overview: Compliance Officer (CO)**

We are currently seeking a Compliance Officer (CO) to join our team. This crucial role involves advising and collaborating with various departments within Peters & Co., including trading, research, investment banking, institutional sales, and private client sales teams. As a CO, you will have the opportunity to contribute to a highly regarded firm in the oil and gas financing industry, actively shaping its future. Our compliance department promotes collaboration, cross-training, and collegiality, making this role ideal for professionals seeking a path towards becoming a Chief Compliance Officer (CCO) role.

### **Personal and Professional Attributes:**

Deep familiarity with activities within a full-service Investment Dealer.

- Particularly:
  - Trade Review
  - New Account opening
  - Regulatory reporting
  - Communications review
  - Trade desk compliance support
  - Private client support
- Diplomatic, respectful, and a team player who can think independently.
- Effective communication, adaptability, self-confidence, and resilience.
- Must view compliance as a strategic partner to the client business units.
- Strong organizational skills and solution-driven mindset.
- Ability to build credibility and make compelling evidence-based arguments.
- Transparency, directness, and a genuine interest in regulatory compliance.
- A clear understanding of how compliance can contribute to the success of the firm.

### **Key Responsibilities:**

- Strategically collaborate with all business units to ensure an effective compliance program.
- Maintain a deep understanding of the regulatory, legal, and business landscape in Canada, including common risks and compliance structures.
- Actively participate in compliance-related initiatives and provide valuable input.
- Collaborate with other team members to ensure all required tasks are complete when required.

### **Key Selection Criteria:**

- The successful candidate will have a minimum of three years of progressive financial markets compliance experience, including experience with a registered Investment Dealer.
- Current registration or immediate qualification as a CO with CIRO is required.
- Completion of CSC and CPH are required.

- Willingness to complete additional exams is beneficial (e.g., CCO exam, PDO, IDSC, Series 14, etc.).
- Experience with the U.S. regulatory environment is an asset.

**Work Environment:** This position is based in our Calgary office and will be an in-office position in Calgary. Hybrid and work from home options are not available.

**Why Join Peters & Co.:**

- Firm-wide respect for the compliance function: Peters & Co. has a longstanding culture of compliance that has resulted in a positive relationship with securities regulators, an excellent reputation, and clean compliance audits.
- A collaborative, supportive team who are all rowing in the same direction.
- No day is like the one before. Peters & Co. offers a dynamic, fast-paced work environment with high complexity and constant learning.
- Well-respected specialists with deep expertise in their field; Join a unique team of subject matter experts in the Canadian energy sector.

**APPLICATION PROCESS**

Please send your cover letter, resume and transcript to [hr@petersco.com](mailto:hr@petersco.com) and reference “Operations Associate” in the subject line. We appreciate all applicants’ interest; however, only candidates under consideration will be contacted.