**CHIEF COMPLIANCE OFFICER**

**Looking for a new opportunity!**

At SANDSTONE, we relentlessly push beyond the easy road to create the best environment and solutions for our clients.

Yes, we manage money! But we don’t just tell people what to do – we help them through life. We take the time because we care about people. It’s all interesting to us. Our inherent and genuine curiosity about bettering the world keeps us inspired and ignites us to take initiative.

Our infectious need to evolve inspires many opportunities to grow and learn, both personally and professionally. We are growing again and looking for a *Chief Compliance Officer (CCO)* to contribute to the growth of SANDSTONE by providing the highest standard of integrity for the firm and its clients. We are extremely flexible and nimble and would love a conversation to see where this opportunity could lead to.

The CCO will be a motivated, goal-oriented team player who can thrive in an open, highly collaborative environment, where flexibility and resourcefulness are required for success.

• Review and approve new and updated client account opening applications to ensure compliance with regulatory requirements;  
• Review daily, monthly and quarterly client and non-client/pro trading and performance reports to ensure compliance with regulatory requirements;  
• Document queries and the result of such for reference purposes in order to target and resolve potential deficiencies;  
• Provide compliance for communication that is distributed externally, including reviews and approval of website, advertising, social media, and all marketing material;    
• Continually improve policies & procedures to remain compliant with regulatory requirements and prevent regulatory penalties;  
• Handling the firm and individual registration, including suitability review of registrant files as required;  
• Documenting and monitoring the individual registrants continuing education requirements to ensure compliance with regulatory requirements;  
• Provide training to the staff on the contents of the SANDSTONE policies and procedures manual and any regulatory changes.

**It's all about you!**

• You have a minimum of 5 years of experience in the securities industry, with a solid understanding of IIROC regulations;  
• You completed, or are willing to complete, the Partners, Directors and Senior Officers Course and the Chief Compliance Officers Qualifying Examination;  
• You have working knowledge of anti-money laundering regulations;  
• You have experience and good trading knowledge of securities and derivatives markets;  
• You enjoy (yes, we said 'enjoy') drafting new policies and procedures;  
• You take ownership of your work and pride yourself in getting it done;  
• You go beyond the basics to do it right and are never satisfied with status quo - you chase details around every corner.

Qualified applicants are invited to submit their *curriculum vitae* + *cover letter* (including salary expectations) to [hr@sandstoneam.com](mailto:hr@sandstoneam.com). SANDSTONE takes pride in being an equal opportunity employer.

Thank you for your interest in SANDSTONE. Only those candidates selected for an interview will be contacted.