

Chief Compliance Officer

THE ROLE

QV is seeking an experienced compliance professional to fulfill the role of Chief Compliance Officer (CCO). The CCO will be responsible for leading the compliance function at QV in conjunction with the Ultimate Designated Person (UDP). The responsibilities will include monitoring various activities at the firm such as marketing, trading and client management to ensure alignment with the firm's compliance systems. The CCO will have a working knowledge of Canadian securities laws and regulations and will stay abreast of any changes to maintain and update the firm's policies and procedures as needed. The Chief Compliance Officer reports to the Chief Executive Officer/Ultimate Designated Person.

WHO WE ARE

QV Investors is an employee owned, discretionary investment management firm managing portfolios on behalf of institutional and private clients. QV is committed to investing, supporting, and empowering our people. Founded in 1996, QV stands for "Quality" and "Value", characteristics that resonate through the firm's culture and investment principles.

VISION, MISSION, AND VALUES

Our mission is to provide exceptional investment management by constructing portfolios that grow income and capital while minimizing the risk of loss. To achieve this, we continuously invest in our people and offer regular communication to all our stakeholders. Providing excellence in investment management and client service along with the best security selection, portfolio management and communications for our clients is our key vision. We achieve both our vision and mission through the values that make up the core of our firm.

These values include:

- **Clients First:** Our clients' success defines our success.
- **Integrity:** We operate with candor, respect and professionalism.
- **Excellence:** Through continuous improvement, we strive for excellence in everything we do.
- **Teamwork:** Working towards shared goals gives us strength to achieve more.
- **Accountability:** As owners, we hold ourselves to a higher standard.

Position at a Glance

Role:

Chief Compliance Officer

Hours: Full-time

Location: Hybrid

Salary: Market

Start Date: Negotiable

To apply, send your resume and cover letter to:

careers@qvinvestors.com

Closing Date:

4:00PM MDT, May 13, 2025



MAIN RESPONSIBILITIES

- Monitor and assess compliance matters of the firm and individuals, acting on its behalf, with required securities laws
- Proactively provide compliance advice and training to the Asset Management and Wealth Management teams where appropriate, and continuously improve processes and workflows
- Interpret new and updated regulatory/compliance requirements related to asset management activities and implement into business processes within required deadlines
- Deliver compliance presentations to the firm's clients and Board of Directors and respond to compliance inquiries
- Perform and complete various monthly, quarterly and annual regulatory monitoring and reporting requirements.
- Coordinate efforts related to compliance audits, reviews and examinations.
- Oversee Anti-Money Laundering compliance regime by developing and updating policies in accordance with guidelines and continuously monitoring existing accounts and transactions
- Conduct firm risk assessments and provide mitigating strategies
- Review and approve marketing materials to ensure compliance with QV's Policies and Procedures
- Update QV's Policies and Procedures; implement and document required process changes where necessary
- Participate in and provide compliance oversight as needed on operational projects

CANDIDATE REQUIREMENTS

What we're looking for:

Professional

- 5+ years of relevant investment compliance experience at a portfolio manager and/or investment fund manager firm in Canada
- Ability to be registered with limited coursework or already registered with the Alberta Securities Commission (or equivalent, in other provinces) as a Chief Compliance Officer
- Working knowledge and understanding of Canadian securities laws and regulations
- Strong understanding of investment operations activities
- Strong communication and presentation skills
- Proven track record of establishing and improving controls and processes

Educational

- Bachelor's degree
- CFA®, CIM®, or CPA designation would be considered an asset

Who you are:

- Dedicated to pursuing excellence, continuous improvement and self-leadership
- Strong organization and time management skills, with superior attention to detail
- Ability to work both independently and cohesively with others, with proven history of taking on leadership positions





WHAT WE PROVIDE

- A hybrid work environment
- A competitive compensation package that reflects industry level
- A comprehensive health benefits program and access to confidential family assistance services
- Five personal “Quality” (Q) days, with pay, per annum to provide flexibility and support to the personal well-being of our team members
- A central office location with secure bike storage and on-site gym access with complimentary fitness classes offered

DIVERSITY

Varied perspectives and skillsets have the potential to enhance decision making, promote continuous improvement and enrich our collaborative culture. Diversity in many forms (including but not limited to diversity in experiences, backgrounds, cultures and ideas) is therefore considered alongside an unbiased assessment of merit and qualifications when seeking the best possible candidate for each employment opportunity.

Teamwork is a key tenet of our culture; we strive to ensure all QV'ers feel empowered to use their diverse perspectives and experiences in pursuit of our shared goals. We provide all individuals in all roles with opportunities to learn, grow, and benefit from an environment of mutual respect.

To apply, e-mail your cover letter and resume to careers@qvinvestors.com with the heading “Chief Compliance Officer”. Candidates without cover letters may not be considered.

Alternatively, candidates may forward their cover letter and resume to:

**QV Investors Inc.
Attn: Hiring Committee
Suite 1008, 222 - 3rd Avenue, S.W.
Calgary, AB T2P 0B4**

We thank all applicants in advance and advise that only candidates selected for an interview will be contacted.