



## Ninepoint Partners LP – Compliance Associate

### About Us

One of Canada's leading alternative investment management firms, Ninepoint Partners LP is an independent, employee-owned firm serving the investment advisor and institutional investor communities. With over 90 employees and over \$8B in assets and institutional contracts, Ninepoint manages unique alternative investment solutions that offer investors the benefits of better diversification. We target investment strategies that are uncorrelated from traditional asset classes, such as equities and bonds, with the goal of lowering overall portfolio risk. Offices located in Toronto and Montreal.

Committed to helping investors explore innovative investment solutions that have the potential to enhance returns and manage portfolio risk, Ninepoint offers a diverse set of alternative strategies including North American Equity, Global Equity, Real Assets & Alternative Income.

As a team, we have a long track-record of managing alternative income, real asset and alternative core strategies. Innovative thinking, and our ability to apply it to real-world solutions, is what defines us.

We are among the largest independent asset management firms in Canada and is wholly owned by Ninepoint Financial Group Inc.

At Ninepoint Partners, we foster an atmosphere of empowerment, mutual respect and enjoyment. We hire talented and ambitious individuals who thrive in a growth-oriented, entrepreneurial environment.

Are you passionate about serving clients, working together and sharing our values to achieve our clients' goals?

### Job Overview

Ninepoint Partners seeks a compliance-oriented person to join our growing firm. Reporting directly to the CCO, the successful candidate will help maintain a strong and effective compliance culture throughout the organization.

Ideal candidate should be a self-starting, hard-working, detail-oriented person possessing the highest ethical standards who is seeking a challenging and rewarding opportunity to work at an entrepreneurial, fast-paced firm.

## **Responsibilities include:**

- Support the team in day-to-day oversight of compliance, product launches.
- Assist with:
  - ensuring internal policies are adhered to.
  - regulatory filings/responses.
  - approvals and reconciliation of employees' personal trades.
  - Marketing review
  - Fund review
- Interact with teams and individuals across all functional areas.
- Ensure activities conducted are in compliance with governing regulations, internal P&P.
- Maintain organized and effective logs and reports of activity for review and audits.
- Carry out manager's delegation; provide back-up for team member absence; lead / participate in projects.

## **Candidate Requirements:**

The successful candidate will have extensive demonstrable skills and experience including the following:

- Must have a university degree
- 2-6 years of years of relevant experience
- Experience with back office in a bank environment
- Familiarity with the OSC regulatory framework, including national instruments at govern investment funds (i.e., NI 81-101, NI81-102, NI81-106, NI 81-107 and NI 31-103)
- Excel skills – Intermediate or Advanced (VLOOKUP, pivot tables, macros, formulas)
- Canadian Securities Course (CSC) would be an asset
- Ability to organize data for reporting purposes
- Work both independently and with a team
- Has self-initiative
- Good team player
- Good business communication skills, but written and oral in English
- Good organizational skills
- Deadline drive
- Able to work in a fast-paced environment
- Keep up to date with the current industry regulatory developments

Interested candidates can submit their resume to [careers@ninepoint.com](mailto:careers@ninepoint.com) with the role referenced in the subject line. Only those who qualify for an interview will be contacted.

### **Equity, Diversity & Inclusion**

The Company is committed to the fundamental principles of equal employment opportunity. We are committed to treating people fairly, with respect and dignity and to offer equal employment opportunities based on an individual's qualifications and performance — free from discrimination or harassment because of race, ancestry, place of origin, ethnic origin, colour, citizenship, religion, sex, sexual orientation, gender identity or gender expression, age, marital or same-sex partnership status, family status, disability and record of pardoned offences. This policy applies to all aspects of employment, including recruitment, hiring, placement, promotion, transfer, compensation, training and education.

Each employee is important and accountable for the Company's success and will be treated with respect and dignity.

### **Accessibility**

Accommodations for persons with disabilities are available upon request for job applicants taking part in all aspects of the recruitment process.

### **PIPEDA**

We may collect, use or disclose your personal information for the purpose of establishing an employment relationship with you. Ninepoint Partners does not accept unsolicited agency resumes or phone calls.