

Analyst, Listed Company Compliance

The Canadian Securities Exchange is a rapidly growing exchange invested in working with entrepreneurs, innovators, and disruptors to access public capital markets in Canada. The Exchange's efficient operating model, advanced technology and competitive fee structure help its listed issuers of all sectors and sizes minimize their cost of capital and enhance global liquidity.

Our client-centric approach and corresponding products and services ensure businesses have the support they need to confidently realize their vision.

The CSE offers global investors access to an innovative collection of growing and mature companies.

Reporting to the Manager, Listed Company Compliance in Vancouver, the Analyst, Listed Company Compliance is responsible for Monitoring and reviewing listed company disclosure for compliance with Exchange requirements. The position will be located in our **Toronto** office.

Key Accountabilities:

- Assist with reviewing and analyzing disclosure by companies for compliance with reporting and continued listing requirements. This will include review of news releases, financial disclosure, Exchange filings and other continuous disclosure filings and issuer websites, with a principle focus on event-based filings for:
 - Acquisitions
 - Promotional campaigns
- Summarize pertinent findings for internal and listed company use
- Make recommendations for additional conditions or requirements as the circumstances require
- Develop/recommend procedural or policy changes
- Support Listing Administrator in reviews of and responses to investor complaints through analysis of news, trading data and other relevant information
- Contribute to ongoing development of procedures for recording complaints, cases, and responses
- Assist with preparing departmental activity reports
- Foster strong relationships with enforcement and corporate finance branches of securities commissions
- Liaise with regulatory and industry contacts
- Collaborate on the production of reference materials for various Policy application and department manuals
- Pull reports on all acquisitions that have happened and ensure that we've received all documents required
- Follow up with any of the listed issuers for any missing documents
- Other responsibilities as assigned

Key Qualifications:

- A business degree or Business Diploma with a major in Finance or Accounting, relevant experience with issuer regulation in the securities industry, or equivalent
- 1 to 2 years of related business experience (securities industry is preferred)
- Excellent analytical and communication skills
- The ability to work independently within time constraints is essential

Additional Considerations:

- A post graduate degree or professional designation
- Completion of the Canadian Securities Course and other industry related courses
- Understanding of the public venture capital market and reporting requirements
- Familiarity with CSE listing policies
- Familiarity with trading rules, including clearing and settlement procedures
- Bilingual skills in English and French (written and spoken)

As a part of our team, you will receive:

- Competitive compensation
- Opportunities for advancement
- Comprehensive benefits package (health, life insurance, dental, disability, vision care)
- Employee Assistance Program
- Group Retirement Savings Plan
- Financial support for fitness programs and job-related education
- Vacation and leaves (e.g. personal days, sick leave)

Physical and Environmental Requirements

The employee spends long periods sitting, typing, and/or looking at a computer screen.

The physical demands described herein are representative of those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions upon request.

The above description is intended to describe the general nature and level of work being performed by people assigned to this classification. They are not intended to be construed as an exhaustive list of all responsibilities, duties, and skills required of CSE personnel. The employer reserves the right to change or assign other job duties at any time as necessary and as the business evolves.

Please note all offers of employment at the Canadian Securities Exchange are conditional upon the successful completion of a pre-hire background check. This may involve anything up to and including a criminal history check, reference checks and/or credit check.

Diversity, Equity, Inclusion and Belonging at the CSE

The Canadian Securities Exchange is dedicated to innovation in the capital markets and recognizes that having a workforce with diversity of thought, ideas, experience and perspectives is essential to

building and maintaining such a culture of innovation. The CSE further understands that the commitment to building a diverse, equitable and inclusive workforce that reflects the diverse environments within which we operate is an important goal. In order meet that commitment the CSE incorporates diversity, equity, and inclusiveness criteria into its talent management process.

The CSE is an Equal Employment Opportunity (EEO) employer and welcomes all qualified applicants. Applicants will receive fair and impartial consideration without regard to race, sex, color, national origin, age, disability, veteran status, gender identity, sexual orientation, religion or other legally protected status, or any other classification protected federally or provincially.

The CSE is committed to fair and accessible employment practices and to providing accommodation for persons with disabilities. If you require accommodations to apply for this opportunity, require this posting in an additional format, or if contacted for an interview and require accommodation during any stage of the recruitment process, please contact us at kelly.kane@thecse.com. We will work with all applicants to determine appropriate accommodation for individual accessibility needs.

The CSE thanks all applicants for their interest in this opportunity, however; only those under consideration will be contacted.

Please submit your application to Careers@thecse.com

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