



Chief Compliance Officer – Capital Direct Lending Corporation (CDLC)

CDLC is seeking an individual to fulfil the role of Chief Compliance Officer.

The Chief Compliance Officer (CCO) is accountable for the overall management of all regulatory compliance and risk management for CDLC and the delivery and implementation of all compliance related activities. The CCO is responsible for CDLC's compliance with existing securities law, regulations and internal policies and procedures. The CCO is also responsible for identifying, reviewing and developing policies and procedures for new securities regulation as required. The CCO will be a part of the senior team and will support the development of business strategies and provide recommendations with respect to regulatory compliance and risk management.

1. Key responsibilities

- a. Proactively review business operations to assess issues and opportunities to operate more efficiently and to support the strategy and drive the business forward.
- b. Conduct independent research with respect to all areas of compliance.
- c. Partner with all regulatory agencies to develop solutions that will support the business strategy.
- d. Build and sustain strong relationships with all regulatory bodies that govern CDLC.
- e. Manage the regulatory audit process including the filing of all required reporting.
- f. Ensure that all regulatory requirements for supervision are followed and maintain evidence of all such reviews.
- g. As may be required analyze, review and present the findings of reviews to the regulators whether in response to an investigation or an audit.
- h. Provide timely and regular reporting of the status of compliance and risk related issues to senior management.
- i. Prepare, as required by law, a CCO Report to the Board of Directors of CDLC.
- j. Be the primary contact for all regulatory matters.

2. Qualifications

- a. The successful candidate must be capable of securing registration with provincial securities commissions in the category of Chief Compliance Officer as defined by National Instrument 31-103. Specifically, the successful candidate will possess the following proficiencies and/or related job experience in order to secure such registration:
 - i. CFA charter holder, a licensed and practicing lawyer, chartered accountant, certified management accountant or certified general accountant;
 - ii. Must have, as required, the following industry related courses: CSC, PDO, CCO; and
 - iii. 36 months of relevant experience while employed at an investment dealer, registered advisor or investment fund manager.

Other proficiencies (CSC, PDO and CCO only), as noted in 31-103, will be considered in combination with greater industry experience (e.g. minimum 5 years, of which 36 months was gained working in a compliance environment).

- b. In depth knowledge of the financial services industry.
- c. Exceptional relationship management and communication skills.
- d. Exceptional oral and written communications skills.
- e. IT proficient with Microsoft Office.

Interested candidates should submit a covering letter and current resume to:

Tim Wittig
Vice President

Capital Direct Lending Corp
Suite 305-555 West 8th Avenue
Vancouver, British Columbia
V5Z 1C6

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CDLC is an equal opportunity employer and welcomes applications from all interested parties however only those candidates selected for an interview will be contacted.