

The Opportunity

Auspice is actively seeking an experienced Chief Compliance Officer (CCO) to oversee compliance across all Canadian and U.S. registered entities. This role offers the chance to contribute strategically across compliance, risk management, finance, and operations, with potential expansion into CRO, CFO, or COO responsibilities depending on experience.

The ideal candidate has specialized expertise in managing compliance within the realm of hedge funds, public mutual funds, and liquid alternatives in Canada. This candidate is multifaceted, entrepreneurial, and long-term focused—with the ability to ensure rigorous compliance standards while also contributing to strategic growth.

About Auspice

Auspice is a Calgary based quantitative fund manager and registered CTA (Commodity Trading Advisor under NFA; registered as an Exempt Market Dealer, Commodity Trade Manager, Investment Fund Manager, and Portfolio Manager in Canada). Auspice specializes in applying systematic investment strategies to commodity and financial futures markets. We have achieved significant growth in recent years with firm AUM at approximately \$800mm. We believe we are still in the early days in our growth trajectory and are seeking a key leadership hire to help shape our next chapter.

Auspice is intensely creative and entrepreneurial, having pioneered a number of firsts including product in the ETF space and innovative 81-102 liquid alternative mutual fund exemptions. **Innovation, entrepreneurialism and not accepting the status quo in product, delivery mechanism or regulatory category is in our DNA.**

Our branding and messaging are important as we develop content in forms of research, blogs and thought leadership continuously.

Major Responsibilities:

- Oversee and manage the firm's compliance programs for all registered entities, including Exempt Market Dealer, Investment Fund Manager, Commodity Trading Manager (Canada), and CTA registrations (United States).
- Ensure compliance with applicable securities laws, National Instruments (e.g., NI 31-103, NI 81-102), and regulatory guidance from the ASC, OSC, AMF, and other relevant provincial regulators including the Canadian Securities Administrators.
- Maintain and enhance the firm's compliance policies and procedures to reflect evolving regulatory requirements and business practices.
- Review and approve client communications, offering documents, fund facts, investor presentations, and other regulatory disclosures for accuracy and compliance.
- Ensure compliance with U.S. regulatory requirements for the firm's CTA and NFA membership, including maintenance of disclosure documents, Form PR filings, and compliance with NFA rules.
- Collaborate with sales, marketing, operations, and trading/research to ensure compliance is fully integrated with the business.
- Represent Auspice in institutional RFPs, retail distribution partnerships, and other external opportunities.

Qualifications:

- Bachelor's degree in Accounting, Law, Finance, or related field; advanced qualifications preferred.
- Proven compliance leadership within the Canadian financial sector, ideally with a focus on public mutual funds, hedge funds and liquid alternatives.
- Meet the proficiency requirements under NI 31-103.
- Experience with regulatory frameworks governing mutual funds and 81-102 liquid alternatives in Canada.
- Knowledge of US financial regulatory frameworks relating to NFA, CFTC and for CTAs (Auspice also uses external compliance consultant support in this regard).
- Strong analytical skills to interpret and apply complex regulations effectively.
- Excellent communication, leadership, and strategic planning abilities.
- Entrepreneurial Mindset: A willingness to innovate and challenge existing norms and improve procedures while developing new compliance strategies that align both with the growth goals of Auspice and regulatory frameworks.
- Strong problem-solving skills.
- Self-motivated with a strong desire to contribute to the success of Auspice.

Why join Auspice?

- **Opportunity to take on expanded C-level responsibilities (CRO, CFO, COO).**
- **Be part of a creative, innovative, and entrepreneurial culture.**
- **Outward-facing leadership role with opportunities to represent the firm externally.**
- **Long-term partnership potential, including equity participation.**

To apply to the CCO opportunity at Auspice please email info@auspicecapital.com

- Include resume and cover identifying relevant skills and experience
- Include "Chief Compliance Officer" in the subject of the email.
- Confirm that you meet the regulatory requirements of a CCO for an IFM under NI 31-103, section 3.14 on page 20-21: https://www.osc.ca/sites/default/files/2022-05/ni_20220606_31-103_unofficial-consolidation.pdf. **If you do not meet the requirements, please indicate which requirements you do not meet.**

Location: Calgary preferred, potential for remote, part-time/50% role.