

## JOB DESCRIPTION

POSITION	Director, Compliance & Surveillance
REPORTS TO	Board of Directors
SALARY RANGE	\$100,000 - \$125,000
DATE	March 2025

### JOB SUMMARY:

Reporting to the Board of Directors and under the general direction of the Chair of the Compliance Committee, the Director, Compliance & Surveillance (DCS) is responsible for managing the operational aspects of the Company's compliance and surveillance programs. This role works closely with the Vice President, Casino Operations and the individual casino operating departments. This position is responsible for the overall management of the Compliance and Surveillance operation for all properties, as well as planning, directing and implementing strategic plans. The DCS ensures adherence to all regulatory and company policies and procedures, motivates and leads by example and supports Lahal's learning environment while establishing a safe and welcoming work environment for all team members.

### JOB RESPONSIBILITIES:

As the Director, Compliance, you will be responsible for the following duties:

- Directs programs, policies and practices to ensure that all business units in British Columbia are compliant with all regulatory requirements.
- Provides leadership, direction and mentoring to the Surveillance operation
- Tracks laws and regulations that might affect the Company's policies and implements necessary changes
- Develops, maintains and implements clear, stringent and proactive compliance and surveillance programs, policies and practices
- Responsible for frequent monitoring of the compliance and surveillances programs to ensure adherence to all legislative and regulatory requirements
- Develops in-house, proactive training program for team members
- Collaborates with site Compliance and Surveillance team members to provide leadership, operational experience and compliance direction
- Liaises with regulatory bodies on policy issues, investigations, etc.
- Advises the Board of Directors, Chair of the Compliance Committee, VPCO, and other areas of compliance on applicable federal and provincial regulatory matters, including identifying areas of risk and making suggestions for mitigation and improvement
- Provides expertise in Anti-Money Laundering, gaming Compliance, and other key compliance related requirement.
- Participates in recruitment, hiring and development of Compliance and Surveillance team members.
- Ensures relevant team members are appropriately trained in regulatory, compliance and surveillance issues and such training is regularly scheduled and documented
- Sets and monitors team and individual performance, completing performance evaluations for direct reports.

- Tracks and analyzes policies and procedures to ensure new and existing laws, regulations, policies, and industry standards are adhered to
- Reviews site compliance testing and surveillance reports and findings to review any potential gaps in policies and/or procedures; updates, implements and communicates revised policies and procedures as required
- Ensures Compliance testing is effective and finds creative solutions to identified compliance and surveillance risks
- Responsible for managing and correcting issues of non-compliance as well as instituting policy to eliminate the lapse in regulatory compliance
- Responsible for working closely with and reporting information to applicable regulatory bodies and provincial/state partners as required
- Analyze policies and procedures to guarantee new and existing laws, regulations, policies, and industry standards are adhered to
- Evaluate the adequacy of internal control and identify inefficient business processes that hinder compliance or surveillance efforts.
- Leads Compliance reviews of Lahal Subsidiaries and Partnerships
- Ensures compliance with licensing laws, health and safety and other statutory regulations
- Manages other initiatives as required
- Other related duties as assigned.

## **JOB REQUIREMENTS**

### **Education:**

- Post-secondary education or a suitable combination of education and related experience in business administration, policy analysis, project management, program evaluation, criminology, data analysis or related fields
- Certified Anti-Money Laundering Specialist (CAMS) designation an asset

### **Experience:**

- Minimum 10 years of Compliance and Surveillance or Security experience, with at least 5 years' experience with Compliance, within the casino environment preferred
- Minimum of 5 years management/leadership experience required.
- Strong working knowledge of provincial gaming control laws, federal anti-money laundering laws, surveillance systems and equipment.

### **Knowledge, Skills & Abilities**

- Strong working knowledge of provincial gaming control laws and federal anti-money laundering laws – anti-money laundering, privacy and security certifications an asset
- In depth knowledge of obligations under the PCMLTFA and its regulations, Privacy Law and the BC Gaming Control Act and regulations
- Strong working knowledge of privacy legislation
- Gaming industry experience an asset
- Excellent written and oral communication skills
- Demonstrated ability to build strong relationships with others.
- Demonstrated ability to plan, manage and deliver program management

- Computer literacy in MS Office
- Technical writing or experience drafting policy and procedure manuals an asset

**Compliance Requirements:**

Every team member must comply with all requirements of the Company Ethics and Code of Conduct Policies and with all other corporate policies as communicated. Every team member will be familiar with the business process documentation and internal control objectives related to their position and how their job description aligns with specific internal control activities for which they are responsible. Every team member must adhere to all Company and regulatory policies as they relate to functions of the position.

**Licensing and Certification Requirements:** Permanent employment may be dependent upon the authorization and continued approval of the Provincial/State Regulatory Bodies. New employees may be required to complete an application and, if required, will begin work only after regulatory approval is granted. Existing team members will reapply as necessary, and continuing work will be dependent upon successful reapplication. For positions that require additional certification, the appropriate level of certification will be maintained.

**Physical Demands**

This role requires the ability to perform the following physical activities:

- **Mobility:** Ability to move throughout the office and between locations as necessary. This may include walking, standing, or sitting for extended periods.
- **Communication:** Regular use of verbal and written communication, requiring clear articulation and comprehension of information.
- **Dexterity:** Frequent use of hands for typing, handling documents, and utilizing office equipment.
- **Visual Acuity:** Ability to read and interpret documents, reports, and digital screens.
- **Travel:** Occasional travel may be required, including transportation to various casino or meeting locations.
- **Work Hours:** non-traditional work hours may be required in certain circumstances.
- This role may also require the ability to lift and carry materials weighing up to 20 kg, such as files or equipment.

This description is a guide to the general work to be performed and is not intended to be a complete statement of the position.