

A person stands on a rocky peak, silhouetted against a vibrant sunset or sunrise sky. The sky transitions from deep blue at the top to warm orange and pink near the horizon. The Milky Way galaxy is visible, stretching across the upper portion of the frame. The foreground shows rugged, dark rocks.

cg/
Canaccord
Genuity
Wealth Management

Bright minds,
brilliant prospects

Make the most of your future at Canaccord Genuity Wealth Management

We are delighted that you're interested in joining us at Canaccord (also known as CGWM).

About you

You are highly motivated, results oriented, enthused by your work, and devoted to your colleagues and clients. You like to push boundaries, embrace change, find better ways of doing things – and as well as working as part of a team, have a passion to excel and achieve individual success.

If you are looking for a caring, friendly environment where you can develop your skills, we are always interested in recruiting new colleagues with fresh ideas, energy and talent.

Your welfare and progress will be a top priority for us, and we will ensure you have opportunities to make your mark within the company.

About us

We are a dynamic, growing brand with big ambitions. We are part of Canaccord Genuity Group Inc., a publicly traded company under the symbol CF on the Toronto Stock Exchange. Established in 1950, it is now a leading global financial services firm, operating in wealth management and capital markets.

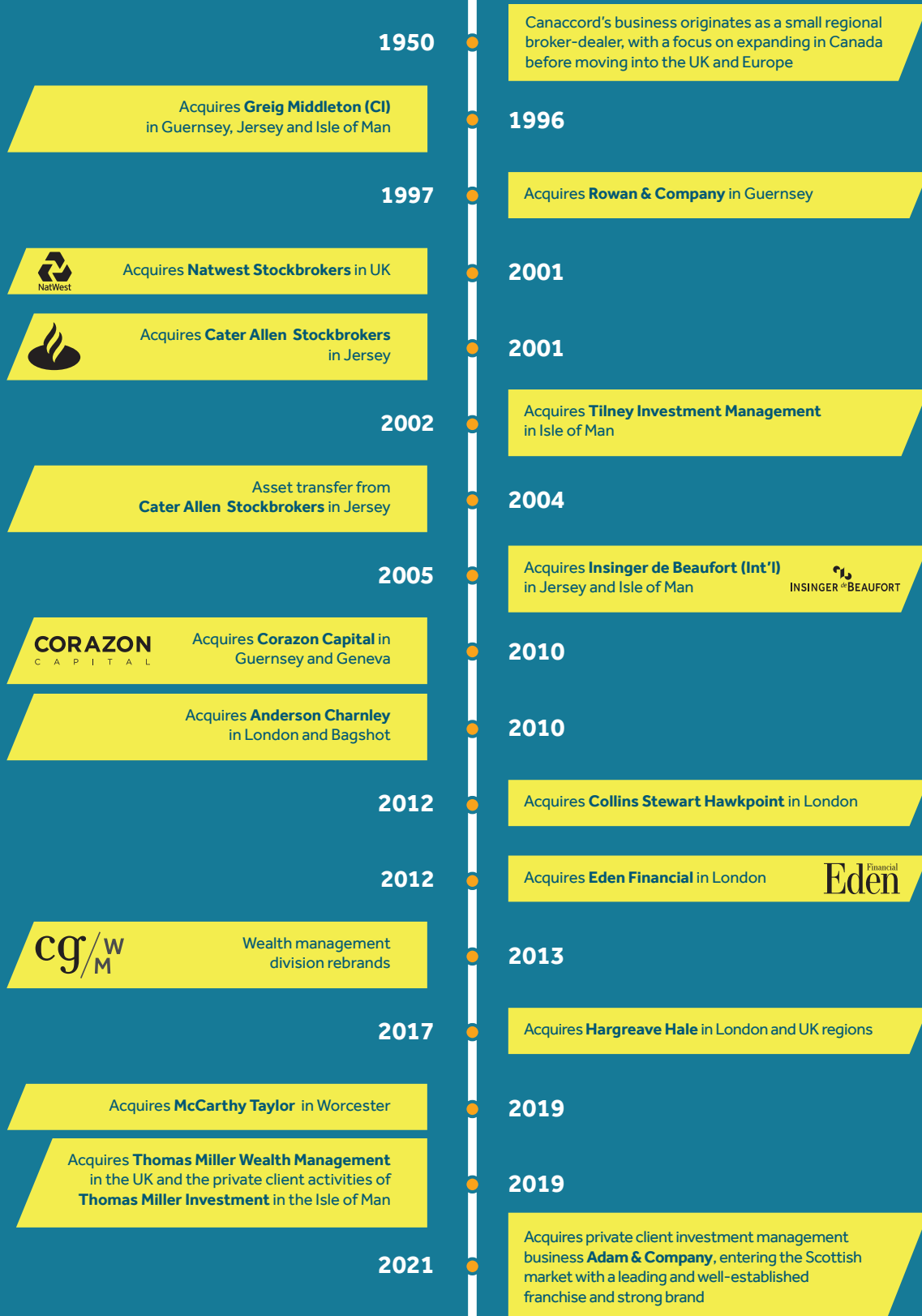
The Canaccord Genuity Wealth Management business in the UK and Europe was established when the Group acquired Collins Stewart Hawkpoint plc and Eden Financial in 2012.

Now, in the UK and Europe, we provide large numbers of high net worth clients with expert wealth management to help them reach their objectives. Our investment management and wealth planning specialists work in combined teams to ensure these services dovetail together holistically.



I say this to my colleagues, I do not think that any other company would offer what CGWM does. In my 22 years of investment management I have never worked in such a good environment.

Our company timeline



Recent events

In July 2021, leading global investment firm HPS Investment Partners agreed to invest in our UK wealth management division on behalf of the investment accounts and funds it manages. HPS has over US\$68bn of assets under management, invested in both large and small companies across a variety of industries and sectors. It expects to be a strategic partner to CGWM UK on future acquisitions and growth opportunities as we continue to expand and grow the business.

At the end of 2021 our division managed nearly £35bn of assets under management, administration, and management contract. We now have almost 600 colleagues, including nearly 250 client-facing professional advisers across 13 offices.

As part of our long-term strategy to develop our integrated wealth management business, in mid 2022 we acquired Punter Southall Wealth, with assets of around £5bn and 25 financial planners. This will bring us an increased footprint nationwide, as well as increasing our size and scale.

This is a great place to work. There is a great atmosphere in the office and I enjoy coming to the office each day. I am grateful that we have some great role models in our executive management team.



Our CGWM values

These drive our behaviour at all times, towards our clients, colleagues, partners and suppliers. We are always:

Accountable

We take responsibility for carrying out our roles efficiently and enthusiastically, to meet and exceed our clients' expectations and deliver results.

Aligned

We're all working hard to keep our brand promise and live by our brand values. By being aligned with our colleagues and recognising that diverse teams create better business outcomes, we can focus on delivering those outcomes and a brilliant experience for our clients.

Ambitious

We are constantly working towards being first in our field, and strive for success both individually and as a business. We believe we will achieve this by focusing on our clients' needs.

Approachable

We want everyone to feel they belong. We welcome clients, intermediaries and colleagues of diverse backgrounds, and we encourage friendly dialogues.

These four 'As' are embedded within our business and influence everything we do, from performance reviews to the way we talk about ourselves.



Our mission

We exist to serve our clients, to protect and grow their wealth, and to earn their loyalty.

That is our mission statement, which guides everything we do at CGWM. We have grown fast and achieved success thanks to our belief in putting our clients first and creating close, trusting relationships with them. Our CGWM brand promise to our clients is:

Build your wealth with confidence.

... and our vision is:

To bring our clients the best experience and return from their wealth.

My team are incredibly helpful, always willing to lend a hand on a whim, and we all look out for each other when needed; definitely a very solid dynamic.

People are given the chance to enhance their careers at CGWM, and to get involved with aspects outside their normal everyday role.



Why choose Canaccord?

We are constantly growing and developing our business, and you will be able to grow and develop your skills with us. We will offer you new challenges while consolidating your existing talents and building on your experience.

A great working environment

- **Career development:** we offer targeted plans to support your progress – see ‘Investing in your future’ on page 12
- **Stability:** we coped well with the effects of the coronavirus pandemic
- **Our commitment to ESG (environmental, social, and governance) business principles:** including diversity, equity and inclusion (DE&I), as well as climate action and sustainability (CA&S); we also run a market-leading ESG portfolio service
- **Workplace flexibility:** if you need hybrid or adaptable working arrangements, we can organise that for you.

Plus, of course, excellent remuneration packages, including discretionary bonuses and pension contributions.

You will also benefit from life assurance, income protection and private medical insurance. Optional benefits include dental cover, flu jabs, Tastecard membership and a share purchase plan.

Building client relationships

- **Specialist resources:** we have considerable resources in financial planning and investment management, which ensures you can draw on the expertise and research of our specialists whenever you need them
- **Control:** we have our own in-house back-office operations, based in Blackpool and Guernsey, which lets us control and enhance our clients’ experience
- **Business opportunities:** our independent financial planners have access to our investment management clients, who may not have a financial planner but often have complex and urgent needs
- **Bespoke and centralised portfolios for our clients:** we offer a range of different investment platforms to suit each client’s individual needs, including our Managed Portfolio Service, Passive Portfolio Service and IHT planning
- **State-of-the-art technology and systems:** we have invested considerably in our Avaloq investment system (and are still making improvements), to free up time for client relationship management.

Why our colleagues stay with CGWM for years

The loyalty and sustained contribution of our employees has been a key factor in our success as an outstanding wealth management business.

When you join us, you will be part of our journey towards even greater success. Many of our colleagues have been with Canaccord for nine years or more – an impressive record in our industry. Here are some of the reasons they give:

- Challenging, meaningful work: their roles are inspiring, engaging and constantly evolving
- They like being part of a successful business which is enjoying organic growth (see timeline on page 4)
- They feel their jobs are secure; we are a well established firm and remained stable during the pandemic
- They feel genuinely appreciated – for example by our ‘giving thanks’ system where people can show their appreciation to their colleagues via our intranet’s employee recognition page
- They enjoy our dynamic, fast-paced environment
- They share our commitment to ESG, diversity and sustainability (see page 17 for more details).

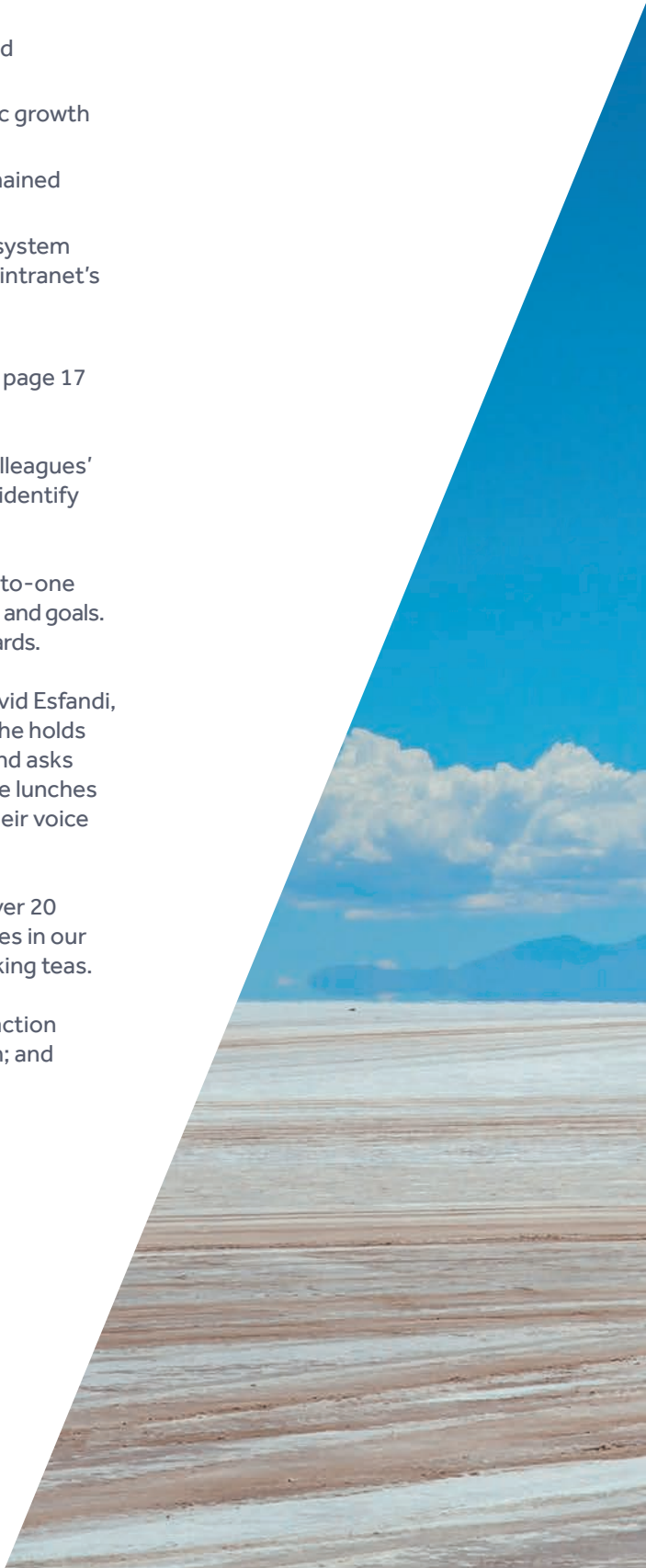
We carry out quarterly engagement surveys to gain insight into our colleagues’ satisfaction and give them a platform for sharing their views. We then identify and act on any areas where we could do better.

Each employee has an appraisal meeting twice a year, as well as one-to-one meetings at least monthly, to ensure everyone is happy with their careers and goals. We also celebrate long-service milestones with appropriate financial rewards.

We also believe in involving everyone from the top down. Our CEO, David Esfandi, does not sit in an ivory tower, ignoring what goes on in the workplace; he holds regular CEO lunches where he invites a group of employees to lunch and asks them what they feel works and what can be improved. He follows these lunches with action points and status updates, letting employees know how their voice has helped with changes and growth at Canaccord.

Our International business is run by Andy Finch, who joined the firm over 20 years ago. Andy hosts quarterly in-person updates, actively participates in our sports and social events, and can be regularly found in the kitchen making teas.

All our colleagues can apply to participate in various committees and action groups, discussing matters such as ESG; diversity, equity and inclusion; and business development.



Everyone was able to give their opinions and first impressions of the business. The CEO was very keen to hear about what we can do better as a company and has since gone away to think about how we can implement these changes.



Investing in your future

As a business, we believe in investing in our people. As soon as you join us you'll start on your development journey, with a personalised induction.

We will create a plan that matches your individual needs, ambitions and knowledge gaps, while also maintaining our culture of growth. This will include specific training and support for any formal qualifications you might need or want, such as marketing and/or CISI qualifications.

Some of the strategic areas covered could include:

- **Generating revenue via new and existing clients:** with our sales training series, sales pods and centralised proposition training
- **Nurturing health and wellbeing:** through mental health first aid training, partnering with benefit providers for better alignment, mental health 'lunch and learn' topics, and computer-based training modules
- **Legal matters:** meeting regulatory and legal expectations
- **Valuing inclusion and advancing diversity:** team-specific training; DE&I basics computer-based learning; advancing culture and engagement.

We will support your career progression through our mentoring programme (available to all colleagues), plus 'lunch and learn' sessions on a range of topics. These could include the client journey, financial planning, ESG, building a portfolio, becoming a leader/people manager, and technical systems training.

We also ensure that all our line managers and team leaders receive any support and training they may need.

There is plenty of opportunity to perform challenging tasks, which supports career development. I'm very happy with the variety of tasks I am involved with.



Managing change

Because of the speed with which CGWM is growing and changing, our internal processes and culture are also constantly evolving.


That's why we welcome people who are flexible, adaptable and able to think innovatively. You will need to be ready for new challenges and able to adapt to new colleagues and their ways of working. This can be extremely rewarding, and offers plenty of opportunities for learning and personal growth.

And if you have ideas for new ways of working, or how to shape Canaccord's future, we will always be happy to hear them.


A supportive culture

We believe in nurturing our employees, with emphasis on their wellbeing and mental health. The last couple of years have been stressful for everyone; we are well aware of this, and have put systems in place to provide support and make sure nobody 'falls through the net'. Our caring culture includes:

- #wecandothis – our award-winning way of providing mental and physical wellbeing support for colleagues during lockdown
- Mental health awareness training for managers so they can foster a culture of psychological safety
- 'Random acts of kindness day' email followed by a gift for all colleagues
- Training resources available to all
- Designated mental health first aid champions in all office locations (with training available to any new office locations)
- Regular mental health and wellbeing updates, including 'Wellbeing Wednesday' emails during the pandemic, and 'Blue Monday' emails giving advice and listing the resources available.



I feel very lucky that I work for a company that has dealt with the pandemic so well. I've seen friends and family members struggle with the uncertainty of their jobs and with CGWM I feel the response to the current situation has been amazing.





The support I have had over the last 18 months has been amazing; I can't thank my manager enough for this.



*CGWM go above and beyond
to be inclusive.*

Our commitment to making a difference

At Canaccord, we all work together to do our best for fairness, kindness and the planet's future. We want to make the world a better place in any way we can.

We believe in ESG

As well as promoting ESG (environmental, social, and governance) investments to our clients, we believe the same principles should guide our company ethos and direction.

To us, ESG is an umbrella term covering not just a way of investing, but our initiatives to promote diversity, equity and inclusion (DE&I), as well as climate action and sustainability (CA&S).

Two strategic CGWM committees drive progress on these campaigns, supported by action groups. These groups propose and run specific initiatives, enabling them to promote and achieve change in ways that reflect their own passions.

Diversity, equity and inclusion

At CGWM, we want everyone to feel they belong. We also recognise that diverse teams bring a wider range of ideas, leading to better results.

We carry out regular initiatives for all colleagues to ensure we all understand what being an inclusive employer means to us, and we are working to grow and support a diverse employee base.

The 10,000 Black Interns programme is a talent pipeline into graduate roles. We are proud to participate in this programme, which launched in 2021, and within a year have already welcomed one intern into a permanent role.

We have also set up networking groups – for women, working families and young professionals, for example.

We have female representation on all our strategic business committees, and we are working towards a closer gender balance. Our current percentage is:

- Senior executive committee - 27%
- Remuneration committee - 33%
- Audit and risk committee - 33%.

Climate action and sustainability

We are doing our best to monitor our impact as a business and as individuals. Ultimately, we need to align with national net zero targets, so we bring ESG principles into all our decision-making.

To help us achieve this, we have set targets for our actions as a business and as corporate citizens, and we help internal teams and individuals to make changes to their everyday working practices.

Supporting our communities

We are committed to making a difference, in both our local and global communities. These are some of the ways in which we contribute:

- We run a charitable trust fund, based in our international business, where clients can elect to transfer leftover funds from their investments if they wish
- Our 'give as you earn' scheme enables you to contribute money to charity directly via payroll
- We have set up a series of #cando initiatives where we partner with Olympic athletes to promote wellbeing videos, encouraging colleagues, clients, business contacts and the community to get moving
- From April to September, our Jersey Corporate Cup race sees teams running in a monthly 5km lunchtime race; this encourages exercise while also raising money for the Jersey Sports Association for the Disabled
- CGWM sponsors the mass participation cycling event at the Isle of Man Sportive – it's suitable for all ages and abilities, and follows the TT circuit
- We have also supported the Guernsey Inter-firm relay for the past 18 years; this raises funds for Guernsey Athletics Island Games team and involves many of our colleagues in volunteer roles
- In our UK regions, we support local running events, such as 10k runs in Crowell and Evesham.

Talk to us about your future

If you believe you would be a good fit at Canaccord, and you would like to talk to us about a role here, get in touch. We'll be delighted to tell you where we have opportunities and how we can structure a package that's right for you.

Then we'll look forward to welcoming you to our exciting, forward-moving team.

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It would take an awful lot of convincing to take me away from Canaccord at the moment.



All quoted comments taken from our
December 2021 internal engagement survey.

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