

Job Posting

Start Date:	ASAP	Location:	Mississauga, Ontario
Position Type:	Full Time, Permanent	Reporting To:	Manager, Branch Review
Position Title:	Branch Review Officer	Department:	Compliance MFDA

Investment Planning Counsel Inc. is an integrated wealth management company focused on providing Canadians with the best in financial products, services and advice to help them achieve their financial dreams. IPC has developed a strategy that marries the needs of the planners with that of the Company. IPC's intent is to be the premier choice among financial planners who are dedicated to serving the needs of their clients. For more information about IPC, please visit: www.ipcc.ca.

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The role of the Branch Review Team is to plan, execute and report on branch and sub-branch examinations carried out across all IPC distribution entities, in accordance with applicable regulatory requirements.

Branch Review Officer is part of the Branch Review Team focused on developing strong field relationships with branch managers and representatives in the area of regulatory compliance and risk management.

Job Responsibilities:

For branches and sub-branches across the country, focused primarily in Ontario and Manitoba, this role will be responsible for the following:

- Perform onsite reviews of branches and representatives to detect potential compliance issues:
 - Attend various branches and perform reviews of sales compliance procedures and practices
 - Interview representatives/branch managers to detect potential compliance issues
 - Review branch procedures to identify areas requiring improvement, potential risk or practices which do not comply with IPC, regulatory or applicable legislative requirements
 - Review books and records to ensure adherence to requirements
 - Assess supervisory procedures employed by branch managers and the execution of those procedures
- Prepare and issue reports outlining the findings of the branch review
 - Review documents obtained at audit and identify deficiencies or areas which require process improvement or implementation
 - Provide a formal written response to the Branch Manager outlining deficiencies and suggested actions to rectify deficiencies. A response is requested from the Branch Manager addressing each issue raised within the report
 - Monitor responses received from Branch Managers
 - Work with Branch Managers and representatives to implement solutions to report findings
 - Ensure the branch implements required changes within a reasonable amount of time
- Prepare and deliver compliance training and education models to branches and representatives
- Review and respond to client complaints and regulator inquiries
- Assist internal compliance staff with daily activities
 - Provide support to other members of the compliance department with special projects
 - Occasionally assist with daily trade reviews
 - Sales communication and co-op marketing review and approval
 - Make recommendations for improvements to branch supervision guidelines and practices
- Provide information to representatives/branch managers regarding compliance/regulatory matters

Skills and Knowledge Requirements:

Education: Post secondary diploma or degree in business, finance, economics or other related discipline. Completion of Canadian Securities Course (CSC) or Investment Funds in Canada Course (IFIC). Completion of Branch Managers Course (CSI or IFIC) is an asset.

Work experience: Minimum one year experience as a Compliance Officer in a branch or head office setting, preferably for an Investment or Mutual Fund Dealer. Alternate comparable experience will be considered

Industry knowledge: Must be knowledgeable in securities and mutual fund products and industry. Working knowledge of MFDA and IIROC retail distribution supervisory and business conduct rules and related policies, notices and other regulatory guidance. Must have general familiarity with federal and provincial legislation covering anti-money laundering, privacy and other related disciplines

Technical Skills: Must have very good working knowledge of Microsoft Suite (Word, Excel, PowerPoint, Outlook).

Communication skills: Must have excellent written and oral communication skills, positive and collaborative approach to team work and be effective listener.

Customer Service: Able to anticipate needs of the internal and external customers; manage questions and resolve issues; commitment to customer service excellence. Able to foster and maintain excellent relationships with advisors, branch support staff, Head Office compliance staff and other key stakeholders

Organizational Skills: Must be detailed oriented, comfortable working in fast paced environment, able to multi-task, prioritize and meet tight deadlines.

Valid Driver's License: Must have valid driver's license to operate vehicle in Canada with an excellent driving record. Must have access to a reliable transportation.

Working Conditions:

- Standard, corporate, office environment. Various office environments.
- Corporate business hours based on 37.5 hour work week from Monday to Friday (9:00 am to 5:00 pm); ability to work excess hours (including evenings/weekends) as maybe required.
- Sitting, standing, walking filing, faxing.
- Lifting file boxes up to 25 pounds in weight. Transporting computer equipment and examination materials.
- Extensive travel via car/plane (including overnight travel) within assigned region – up to 40% of time may be spent travelling.

Please forward your résumé and letter of interest to: Human Resources, Investment Planning Counsel Inc., by e-mail to careers@ipcc.ca.

When applying for this competition, please **specify in the subject line the title of the position** you are applying for.

Additionally, please answer the following questions in the body of your email:

- 1. Number of years of relevant work experience**
- 2. Number of years of work experience in the financial services industry**
- 3. Salary expectations**

We thank all applicants for their interest; however, only those selected for an interview will be contacted.
