

Job Posting

Position Title:	Business Practices Officer	Start Date:	September 2010
Position Type:	Contract until Dec 31, 2010	Location:	Mississauga, ON
Reporting To:	National Director, Surveillance	Job Family:	Professional/Technical
Department:	Compliance MFDA	Job Level:	Level I

IPC Investment Corporation (IPC), a MFDA Member and affiliated company of Investment Planning Counsel of Canada, Ltd., requires an experienced and skilled professional to assume the role of **Business Practices Officer** based out of our Head Office in Mississauga, Ontario.

Job Summary:

The Business Practices Officer is part of a team focused on developing strong relationships with branch managers and representatives in the area of regulatory compliance and risk management to ensure that IPCIC and its mutual fund salespersons and branch managers comply with firm policies and procedures as well as rules, regulation and policies of the Mutual Fund Dealers Association (MFDA) and applicable securities regulation in the areas of trade review and trade related documentation.

Job Responsibilities:

Daily Trade Reviews Follow-Up and Resolution – 90%

- Follow up and resolve previously issued and outstanding trade inquiries
- Follow up and resolve outstanding trade related documentation issues
- Prepare a weekly report of the completed versus the outstanding trade inquiries and related documentation
- Assist if/when required in the performance of daily trade reviews over certain transaction and product types (trades by producing Branch Managers, trade in exempt securities and in plans identified as having a Power of Attorney on file) identifying and investigating unusual transactions and issuing trade inquiries as required
- Assist if/when required in the accurate and timely record-keeping of trade reviews performed and trade inquiries issued, providing management oversight reports as requested

Provide technical assistance for interpreting regulatory requirements – 10%

- Assist if/when required in responding to telephone and email inquiries from salespersons, branch managers and head office staff in a timely and effective manner, providing clarification and interpretation of firm policies and applicable industry regulatory requirements
- Assist if/when required in the planning, execution and reporting of special projects and investigations related to trade review procedures and trading and supervisory practices of select salespersons and branch managers, as requested

Skill Set & Knowledge Requirements:

Education: Completion of Investment Funds Course and Officers, Partners and Directors Course; completion of post secondary education

Compliance/Industry Knowledge:

- Advanced knowledge and understanding of MFDA rules, policies, regulations and applicable securities legislative requirements pertaining to trade surveillance and trade related documentation; ability to demonstrate a solid understanding of regulatory requirements to assist in the completion of trade reviews, trending analysis of trading patterns and to effectively respond to regulatory inquiries.
- Knowledge of mutual fund/securities distribution operating platforms; ability to use IPC's operating platform (Winfund) in order to generate reports and review client information

Customer Service: Advanced customer service skills; able to calmly and effectively communicate with salespersons and branch managers while challenging their trading and/or supervisory practices

Analytical Skills: Strong analytical and problem solving skills; ability to identify trades that require detailed review. Demonstrate the ability to solve problems while maintaining positive relations with representatives and keeping within regulation and company policies

Computer Software: Very good knowledge of MS Office suite. Strong proficiency in Excel, Word, Power Point & Outlook to assist with writing communications, reporting, analysis and presentations.

Communication & Presentation Skills: Very good English oral, written and presentation skills. Ability to effectively communicate with representatives, branch managers, colleagues and management.

Working Conditions

Standard office environment. 37.5 hour work week. Standard business hours of 9:00 am to 5:00. Availability to work excess hours from time to time maybe required.

Please forward your résumé and letter of interest to: Human Resources, Investment Planning Counsel Inc. via e-mail at careers@ipcc.ca. All applications should be forwarded by **July 30, 2010**.

In the body of your email or covering letter please indicate the following:

- 1. Number of years of relevant work experience**
- 2. Number of years of industry experience**
- 3. Salary expectations.**

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

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