

Job Posting

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| Position Title: | Senior Business Practices Officer | Start Date: | January 2012 |
| Position Type: | Fulltime, Permanent | Location: | Mississauga, ON |
| Reporting To: | National Director, Business Practices | 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.

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Senior 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 IPC Investment Corporation ("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.

The primary role of this position is to assist the Branch Practices team in the thorough and timely completion of daily trade review procedures over the activities of IPCIC registered mutual fund salespersons and branch managers, as well as the review of trade-related documentation.

Job Responsibilities:

Completion of daily trade review procedures – 70%

- § Follow up and resolve previously issued and outstanding trade inquiries
- § 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
- § Maintain accurate and timely record-keeping of trade reviews performed and trade inquiries issued, providing management oversight reports as requested
- § Coordinate and lead in the performance of trade-related trend analysis for the Business Practices Officer team

Provide technical assistance for interpreting regulatory requirements and act as 2nd level support for unresolved inquiries – 10%

- § Respond to phone 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
- § Serve as second-level support for unresolved inquiries escalated by Business Practices Officers
- § Coordinate and lead the critical review of trade surveillance policies and procedures against current and proposed securities regulatory requirements and related MFDA and IIROC rules and policies

Special Projects, Investigations and Training & Mentoring – 20%

- § 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
- § Prepare and deliver educational and training sessions to salespersons, branch managers and head office staff on compliance and regulatory topics and issues
- § Mentor existing Business Practices Officers on effective communication and relationship building skills for dealing effectively with Advisors and Branch Managers

Skill Set & Knowledge Requirements:

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

Work Experience:

- § Five years of experience required in the mutual fund or securities industry with a minimum of three (3) years in a Compliance function
- § Experience in an audit or risk based function or in sales practices support role a definite asset
- § Knowledge of securities laws and regulations
- § Knowledge of industry practices

Compliance/Industry Knowledge:

- ÿ Advanced knowledge and understanding of MFDA rules, policies, regulations and applicable securities legislative requirements pertaining to trade surveillance and trade related documentation
- ÿ 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
- ÿ 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, Investigative 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. Good negotiation and investigation skills.

Computer Software: Very good knowledge of MS Office suite (Excel, Word, Power Point, Outlook). Assist with writing effective communications, reporting, analysis and presentations.

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

Multi-tasking: Ability to effectively access compliance risks and prioritize problems. Ability to work with several competing priorities at the time and meet demanding deadlines.

Working Conditions:

Standard office environment. Standard business hours of 9:00 am to 5:00 (37.5 hour work week). Availability to work additional hours (evenings and weekends). Able to lift/move file boxes up to 25 pounds in weight.

Please forward your résumé and letter of interest to: Human Resources, Investment Planning Counsel Inc. via e-mail at 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.
