

# Credential

## Compliance Officer

Job Type: Full-Time

Location: Vancouver, British Columbia OR Toronto Area, ON

We are looking for a **Compliance Officer** who will ensure that all the companies of Credential Financial Inc. (Credential Securities Inc., Credential Asset Management Inc., Credential Direct, Credential Insurance Services Inc., Credential Financial Strategies Inc.) comply with Head Office Sales Compliance regulatory requirements mandated by the securities commissions and SROs (IIROC, MFDA, insurance regulators). The successful candidate will be also involved with special projects within the company in order to enhance and improve upon client service and achievement of overall corporate objectives.

### Who you are:

- You're passionate about providing outstanding client service, and you view every interaction as an opportunity to make a difference
- You're adept at anticipating and interpreting client needs, and you provide support that results in exceptional experiences
- You take initiative, seeking out and owning opportunities to improve yourself, your team, and our business
- You take pride in finding creative and meaningful solutions to client challenges
- You're comfortable in a fast-paced environment, maintaining a keen attention to detail even when under pressure
- You thrive in a collaborative environment, sharing your knowledge with your colleagues, and celebrating your successes as a team
- You're a life-long learner, staying current on market events, industry news, and innovative trends and technologies
- You believe that all Canadians should have access to sustainable financial strength, and you're committed to long-term wealth solutions
- You consider the impact of your actions on your team members, our partners, our clients, and the places where we live and work

### What your day looks like:

- On a daily basis you will be responsible for:
- Conducting daily, monthly and quarterly trade/supervision reviews in accordance with IIROC & MFDA Tier 2 regulations
- Maintaining evidence and following-up of items identified
- Tracking outstanding items and ensuring issues are escalated for trade surveillance
- Identifying actual and potential violations of regulatory requirements, internal policies and procedures or other risk situations and taking steps to investigate and resolve issue
- Recommending corrective measures and escalate as required
- Providing compliance support and guidance to internal partners
- Assisting with regulatory (and internal) inquiries, investigations and audits
- Targeted advisor and client reviews as directed
- Assisting the AML team as needed relating to unusual and/or suspicious activity
- Maintaining knowledge of internal and regulatory requirements by participating in industry and internal seminars, presentations and courses
- Participate in the development/enhancement of policies, procedures and programs

### Your experience and skills:

- Completion of CSC & CPH
- Completion of IFIC/IFSE/Mutual Fund/ Branch Managers/Options Courses will be considered an asset
- Minimum of 3 years work experience in the investment industry or equivalent education
- Experience in in compliance role with an investment dealer or mutual fund dealer
- Experience with Univeris and Dataphile systems

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- Excellent communication skills, both written and verbal (effective, influence, accurate, clear and concise)
- Extremely detail oriented, with strong organizational, time management, prioritization, problem solving and analytical skills.
- Demonstrated ability to use sound judgment/analysis specifically with regards to securities regulations and understanding business needs of investment dealer.
- Ability to work in a team and independently, with minimal supervision, and a high degree of personal initiative.
- Solid computer skills, specifically with MS Office suite (outlook, word, excel, etc.)
- Ability to deal with stressful situations in a diplomatic fashion and meet short deadlines.

## **Who we are:**

25 years ago, Canadian credit unions came together cooperatively to build an innovative wealth management offering to serve individual credit unions and their communities. Today, Credential Financial Inc. (Credential) is a national wealth management firm providing MFDA and IIROC dealer services, online brokerage, insurance solutions, and correspondent services to over 225 partner credit unions and investment firms across Canada. Our mission is to empower positive growth for all Canadians by providing wealth management leadership, valued advice, and outstanding service.

Our website: [www.credential.com](http://www.credential.com)

## **Contact Details:**

**Recruiter:** Aga Kwiatkowska

**Email:** [akwiatkowska@credential.com](mailto:akwiatkowska@credential.com)

### **Vancouver Head Office**

700 – 1111 West Georgia St  
Vancouver, BC V6E 4T6