

Title: Regional Compliance Officer
Department: Advisor Compliance, Individual Customer
Location: Kanata, ON

Position Overview:

Employing a consultative approach, you will proactively engage with Advisory Network distribution partners (i.e. advisors, management, and administrative staff) to help drive strong awareness on all applicable mutual fund and insurance regulatory and compliance matters. Leveraging your comprehensive knowledge of securities legislation, Mutual Fund Dealers Association's rules and policies, Insurance and other applicable regulatory requirements (e.g. FATCA, AML, Privacy, CASL) you will assist them in establishing and maintaining compliant business practices.

Accountabilities:

- Responsible for the mutual fund trading activity conducted in your assigned region by individuals registered through Quadrus Investment Services Ltd.
- Oversee and supervise registered branch/sub-branch locations aligned to you by assessing risk and conducting reviews/site visits as necessary
- Conduct consultations and practice reviews for WISE firms to provide feedback on the strength of their compliance and influence corrective action if needed
- Conduct mutual fund and/or insurance training sessions in F55F financial centres, WISE firms and at MGA events
- Educate branch managers and sales representatives about their roles & responsibilities and on compliance issues relating to mutual funds and insurance
- Communicate with Branch Managers on a regular basis to determine if there are any compliance concerns in the offices or issues that they are having difficulty understanding or resolving
- Supervise and support Quadrus Branch Managers aligned to you
- Liaise/communicate with securities regulators, industry representatives & participate on committees
- Understand the securities rules applicable in your region and work with head office partners to ensure that these are complied with
- Interview and complete compliance suitability checklists for investment representatives transferring to Quadrus

Qualifications and Competencies:

- Comprehensive knowledge of Mutual Fund Dealers Association, provincial securities acts, regulations, policies and securities related rules in the applicable province
- Familiarity with Canada Anti-Spam, AML/ATF, PIPEDA, FATCA/CRS & Do Not Call List legislative requirements as applicable to our business
- Understanding of CLHIA guidelines and provincial insurance acts in terms of needs based selling, advisor responsibilities/unfair practices/licensing
- In-depth knowledge of Dealer sales force trading practices/requirements and administrative processes
- Registered to sell mutual funds for at least 3 years (strongly preferred)
- CSC/IFIC sales designations
- Pass the Officers, Partners & Directors examination or Mutual Fund Dealer Compliance Course
- Strong interpersonal skills and relationship management. Ability to foster working relationships with all business partners with strong negotiation skills
- Proven leadership skills, with the ability to introduce change
- Excellent analytical, strong problem-solving skills and trouble-shooting ability
- Excellent communication skills – both verbal and written
- Excellent Microsoft Office skills

Discover your opportunity....Apply by April 15th by visiting this link: <https://qwlcareers-greatwestlife.icims.com/jobs/15087/regional-compliance-officer/job?mode=view>

Great West Life offers competitive compensation, great benefits such as medical, dental, life insurance, wellness account and personal days not to mention onsite cafeteria and fitness facilities. If you'd like to join our team submit your information online and introduce yourself.

Together Great-West Life, London Life and Canada Life serve the financial security needs of more than 13 million people across Canada, with additional operations in Europe and the United States. As members of the Power Financial Corporation group of companies, we're one of Canada's leading insurers with interests in life insurance, health insurance, investment and retirement savings. We offer a broad portfolio of financial and benefit plan solutions for individuals, families, businesses and organizations.

We are committed to providing an inclusive, accessible environment, where all employees and customers feel valued, respected and supported. We are dedicated to building a workforce that reflects the diversity of the communities in which we live, and to creating an environment where every employee has the opportunity to reach their potential.

Great-West Lifeco would like to thank all applicants, however only those who qualify for an interview will be contacted.