

Title: Branch Manager, Quadrus
Department: Advisor Compliance, Individual Customer
Location: Sudbury, ON

Position Overview

As Branch Manager, Quadrus Investment Services Ltd., you will be responsible for supervising mutual fund trading activities of registered individuals aligned with your branch office. You must ensure that all mutual funds related activities are carried out in accordance with the rules and regulations of The Mutual Fund Dealers Association (MFDA), the provincial securities commissions and the policies of Quadrus. You will also be required to have a strong working relationship with the regional director in the Freedom 55 Financial Centres and Resource Centres for Great-West Life.

Accountabilities

- Review new investment representatives' client files
- Cooperate and participate in branch review process for branch and sub-branches
- Responsible for the suitability of all trading activities carried out in the office
- Identify and report inappropriate sales activities
- Regularly meet with investment representatives at their offices
- Monitor compliance business practice and communicate with the compliance officer and/or regional director on a regular basis to determine if there are any compliance concerns or issues
- Remedy non-compliance and resolve problems
- Act as liaison between the dealer and the investment representative as needed
- Assist with mutual fund compliance training in your area
- Research client complaints and recommend resolution

Qualifications and Competencies

- Registered to sell mutual funds for over two years
- Canadian Securities Course (CSC) or Canadian Investment Funds Course (CIFIC) or The Insurance Institute of Canadian Bankers (ICB) sales designation
- Branch manager qualification with Canadian Securities Institute, The Investment Funds Institute of Canada (IFIC) or ICB required immediately
- Train, develop and coach support staff (One direct report)
- Accountable for ensuring the branch is managed efficiently, effectively and for implementing any Branch Manager directives
- Resourceful in investigating, conducting branch reviews and implementing solutions
- Driving interest in finding efficiencies and increasing effectiveness
- Current and comprehensive knowledge of regulations applicable to the sale and distribution of mutual funds, including national instruments for mutual fund sales and sales practices, MFDA policies and regulations, IFIC code of conduct and practices, and other securities regulations
- Knowledge of mutual fund dealer administrative processes
- Strong negotiation skills
- Able to establish strong internal and external working relationships
- Excellent verbal and written communication skills
- Excellent Microsoft Office skills
- Travel required – Must have a valid Driver's License
- Bilingual (French) is an asset but not mandatory

Discover your opportunity....Apply by May 23rd by visiting this link:

<https://gwlcareers-greatwestlife.icims.com/jobs/14933/quadrus-branch-manager/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.