

**Position Title**                    **Branch Compliance Advisor**

**Location**                            Toronto

**Reporting To**                    Branch Manager

**Position Overview**                    The Branch Compliance Advisor is a resource for the Branch Management Team and employees regarding industry regulations, requirements and best practices.

The right candidate will excel in the areas of supervision and can effectively communicate and coach IA Teams and Associates.

**Duties and Responsibilities**

- Monitor daily and monthly tier-one account activity of clients, employees and outside pro-accounts
- Offer guidance on compliance policy and procedure and support to advisors and their team members
- Inquire on sales staff and effectively communicate concerns or requirements and ensure that IA teams are following company and regulatory policies and procedures
- Liaise with Operations, Compliance and Credit on branch related issues where required
- Review advisor marketing practices and collaborate with the Marketing Compliance Officer
- Will be a Practice leader and advocate in the area of Change Management
- Share with and communicate best practices to IA teams and ensure they are held accountable for their practice

**Qualifications**

- Excellent communication written and oral skills
- 3 to 5 years of experience in the financial sector
- Compliance or related experience at an investment firm
- Proficient with Dataphile is an asset
- Proficient with Microsoft Office Suite
- Ability to balance time pressures and deadlines with conflicting demands
- Exercise good judgment of regulations and supervisory issues
- Ability to be proactive and communicate change in a fast paced industry

**Education**

- Post-secondary degree preferred
- Canadian Securities Course (CSC), Conduct and Practices Handbook Course (CPH), Derivatives Fundamentals Course (DFC), Options Licensing Course (OLC), and Branch Managers Course (BMC)
- Completion of or working toward Option Supervisor Course (OPSC) is an asset