



Position Title	Branch Compliance Officer
Location	Toronto
Reporting To	Branch Manager
Position Overview	<p>The Branch Compliance Officer is a resource for employees and other industry related professionals regarding industry regulations that must be adhered to within the firm.</p>
Duties and Responsibilities	<ul style="list-style-type: none">• Monitor tier one daily and monthly account activity of our clients, employees and outside pros• Offer guidance and support to advisors/branch office staff regarding compliance policies and procedures• Inquire on sales staff and effectively communicate concerns or requirements• Liaison with Operations, Compliance and Credit on branch related issues• Review of branch marketing and correspondence• Other duties as required
Qualifications	<ul style="list-style-type: none">• Excellent written and oral skills• 3 to 5 years 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
Education	<ul style="list-style-type: none">• Post-secondary degree in finance preferred• The completion of the 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) and asset