

# Credential

## **Branch Examiner** (12 month contract)

Job Type: Full-Time

Location: Vancouver, British Columbia and Regional Offices

We are looking for a **Branch Examiner** to join our Compliance team on a 12 month contract. The successful candidate will be accountable for conducting onsite mutual fund compliance examinations to ensure employees (i.e. Branch Compliance Managers (BCMs), advisors, and non-registered branch staff) act at all times in compliance with the requirements of the MFDA, provincial securities, and Credential policies and procedures.

### **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:

- Developing schedule for assigned audits as well as maintaining an audit schedule and ensuring all details are updated real time
- Performing onsite visits to ensure compliance with regulatory and corporate policies and procedures
- Conducting BCM/advisor interviews in person or via distance means (i.e. conference calls) for CAM regions, if applicable
- Providing CAM branch locations with audit reports as per service level agreements
- Maintaining complete audit files, and ensuring appropriate audit documentation is filed electronically
- Providing monthly status reports to Management based on assigned locations within Credential's audit program
- Providing the required audit information for insertion into regular audit reporting
- Performing year-end reconciliation
- Identifying and communicating compliance deficiencies to Management
- Following up with the Partner BCM/advisor to ensure that all audit deficiencies are adequately responded to within the required time frame
- Identify training and communication needs to Management
- Promoting the company and manage partner relationships to enhance the position of Credential as a partner in providing wealth management products and services.

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## Your experience and skills:

- Completion of Canadian Securities Course, Canadian Investment Funds Course, or Investment Funds in Canada Course
- Completion of Branch Managers' Course, Mutual Fund Branch Managers' Course or Branch Compliance Officers Course
- Completion of Partners', Directors' and Senior Officers' qualifying Examination or the Officers', Partners' and Directors' course will be considered an asset
- Minimum 2 years' experience as a Registered Representative and experience as a Branch Compliance Manager with an investment or mutual fund dealer, or equivalent previous experience in an auditor position.
- You must have comprehensive knowledge and understanding of the mutual funds industry and the related legislative and regulatory framework.
- Experience in the Credit Union System will be considered an asset as well as CFP designation
- Excellent oral and written communication and interpersonal skills
- Extremely detail oriented; strong organizational and time management skills
- Proficiency in completing accurate, clear and concise documentation
- Flexible to meet changing needs and manage deadlines
- Strong analytical and problem solving skills with the ability to exercise good judgment
- High degree of personal initiative
- Proven experience in working independently with minimum supervision
- Demonstrates the ability to work calmly and effectively in a fast paced environment
- Customer focused, ability to build and maintain relationships
- Strong computer and keyboarding skills
- Flexibility to travel frequently

## 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.

**Application Deadline:** December 22<sup>th</sup> 2017

## Contact Details:

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## Vancouver Head Office

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