



REGIONAL BRANCH MANAGER

Company Overview

Founded in 1995, FundEX Investments Inc., a national mutual fund dealer added a new spin to the mutual fund industry by launching a flat-fee dealership specifically designed to satisfy the needs of the successful advisor.

Since then, FundEX has grown to become one of Canada's largest mutual fund dealerships by maintaining its core principles of valuing and encouraging the independence of financial advisors in Canada. FundEX proudly supports over 600 financial advisors across Canada and administers over 12 billion in assets.

Description

Reporting to the Assistant Chief Compliance Officers, the Regional Branch Manager will be responsible for providing coverage to several branch and sub-branch locations within a specific geographical territory. The key responsibilities of this position will be to provide compliance oversight to our network of mutual fund sales people. Please note, this role will be an "in-house" role, working out of the Vaughan location, however some travel may be required.

Responsibilities:

- Ensuring policies and procedures are maintained at each office within their region;
- Ensuring compliance with suitability requirements;
- Reviewing and approving new account openings;
- Providing supervision of trades and advice given to clients;
- Supervising Branch Manager activities;
- Reviewing and following up on previous day's trades;
- Following up on questionable trades and escalating as necessary;
- Completing KYC update review and approval;
- Participating in compliance conferences;
- Providing training and education to the field;
- Monitor trends, communicating findings and implementing corrective actions;
- Acting as a resource for the field.
- Other projects as assigned

Qualifications:

- University degree or equivalent post-secondary education.
- Excellent knowledge of the mutual fund industry.
- Minimum 2-3 years of compliance supervision experience and 3-5 years in the Mutual Fund Industry.
- Completion of the Canadian Investment Funds Course or Canadian Securities Course.

- Completion of the Branch Managers Course and either the Officers, Partners and Directors (OPD) Course or Partners, Directors and Officers (PDO) Course.
- Ability to understand, analyze and interpret Regulatory legislation.
- Excellent problem solving, organizational and communication skills.
- Ability to work both independently and as part of a team.

To apply, please go to: <http://client.njoyn.com/CL2/xweb/xweb.asp?clid=26021&page=jobdetails&jobid=J0417-0640&BRID=EX160576&SBDID=1&LANG=1>

iA Financial Group is committed to fostering a workplace that promotes diversity and inclusion. We can provide accommodation in our recruitment and selection processes to applicants with disabilities where required. Please contact your Recruiter, or send an email to accessiblecareers@ia.ca