

Credential[®]

Credential Financial Inc. (**Credential**) is a national wealth management firm providing MFDA and IIROC dealer services, online brokerage, and insurance solutions to over 225 organizations and more than 1,300 advisors. Our mission is to empower positive growth through wealth management leadership, valued advice, and outstanding service—for our partners, for their people, and for ours.

We currently have a need for a **Regional Branch Compliance Manager (RBCM)** for a 6 month contract in our Compliance department.

The incumbent is responsible for providing direct supervision of advisor mutual fund dealer related activities, for the credit unions in their region. The Regional Branch Compliance Manager (RBCM) is responsible for ensuring advisors act in compliance with the requirements of the MFDA, provincial securities legislation and dealer policies and procedures.

This position can be based in either Vancouver, BC or Burlington, ON and occasional travel may be required.

Expected Contributions:

- Proactively build relationships with advisors to continually increase knowledge and understanding of their business and sales processes
- Manage advisor relationship such that all BCM/advisor interactions are positively influencing the Credential Financial/Credit Union relationship
- Review and provide evidence of approval for all new accounts
- Review suitability of all previous day's trading in keeping with MFDA Policy No. 2
- Approve all KYC material changes; ensure KYC information is updated before each transaction; ensure credit unions are inputting and linking KYC on Univeris before a transaction is placed
- Show evidence of review and resolution and maintain appropriate files and documentation
- Provide new and disciplinary close supervision of advisors as required
- Provide necessary coaching to advisors where gaps are identified in their knowledge and/or sales practices
- Provide onboarding services to advisors/credit unions new to BCM Services as needed
- Follow-up on trades as required by head office Tier 2 review or upon request
- Ensure anti-money laundering and suppression of terrorism duties are conducted
- Disseminate communications to advisors or other credit union contacts when necessary
- Handle and document complaints in accordance with department guidelines, escalating and report up to PCO as necessary
- Conduct internal investigations where advisors are identified as being in contravention of regulatory standards of conduct
- Contribute to department strategies and initiatives as required

Experience and Skills Required:

- 2 years of recent experience as an advisor or Branch Compliance Manager is required
- Operational and/or compliance background in financial services
- Completion of UFIC or CSC and BMC course or equivalent
- Experience or understanding in conducting daily and monthly account supervision would be an asset
- Experience in operating within the credit union system is an advantage
- Excellent communication skills, both written and verbal
- Extremely detail oriented, with good analytical skills
- Strong organizational & time management skills
- Ability to work independently with minimal supervision, and able to be a strong team player
- Sound judgment and ability to deal with stressful situations in a diplomatic fashion

A career with Credential means being part of an organization dedicated to your success. It means belonging to a group of talented individuals who live our values—partnership, innovation and community—every day. Our amazing people and dynamic culture and an exceptional rewards and benefits package are the essence of what sets Credential apart. Visit our website at credential.com to learn more.