

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 **Registrations Officer** in our Compliance department.

This position will be responsible for all aspects of registration and licensing and with the various provincial securities commissions, provincial insurance councils, self-regulatory organizations (SROs) and Errors & Omissions (E&O) provider for Credential. In addition, this position will be responsible for maintaining current databases and records related to registrations/licensing as well as developing and communicating registration/licensing requirements and procedures throughout Credential.

Expected Contributions:

- Process registration applications as well as licensing changes, renewals, and terminations through the National Registration Database (NRD) and insurance councils
- Track registrants and licensees to ensure all required educational and proficiency requirements are satisfied and individuals comply with the Securities/Insurance Act and SRO restrictions
- Liaise with Credential staff, registration personnel, provincial regulators, E&O provider and Credit Unions on registration related matters, to obtain information and materials related to registrations and E&O
- Ensure compliance with regulatory requirements and co-ordinate multi-jurisdiction registration processes
- Respond to registration and E&O related inquiries and requests from the regulators and from within Credential
- Maintain current databases of all registrations and related information
- Stay current on regulatory registration/licensing requirements and legislative changes affecting the financial industry
- Provide assistance and feedback to the compliance team with the delivery of registration/licensing/E&O policies and procedures
- Process the annual CSI, CAM dealer individual and branch renewals, as delegated
- Conduct the reconciliation of all firm NRD accounts and assist in developing annual renewal policies and procedures

Experience and Skills Required:

- 2 years' experience in financial services dealer and/or securities/insurance regulator is required
- Successful completion of CSC, IFIC or CPH is an asset
- Experience in operating within the Credit Union System would be an advantage
- Extremely detailed oriented with strong organizational, time management and analytical skills
- Proficient in completing accurate, clear and concise documentation
- Excellent communication skills, both written and verbal
- Ability to work independently with minimum supervision and a high degree of personal initiative
- Ability to deal with stressful situations in a diplomatic fashion
- Comfort working with a variety of software packages
- Excellent analytical skills with the ability to reconcile complex data from different sources

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.