

JOB PROFILE

Title: Sales Communications Compliance Officer

Date: April 2016

Division/Dept.: Compliance

Job Code: 030912

Reports To: Manager, Policy & Regulatory Affairs

Job Band: J

Job Summary:

The Sales Communications Compliance Officer is responsible for the supervision and approval of all Advisor and Head Office advertising, sales communications and co-op marketing ventures. The Sales Communications Compliance Officer must perform the necessary compliance duties to ensure the aforementioned are reviewed, assessed, and rendered compliant with policies, procedures, regulations and laws set out by the Provincial and Territorial Securities Commissions, and, The MFDA and IIROC. The Sales Communications Compliance Officer's role is an integral part of a versatile team that specializes in the supervision of Advisor advertising and sales communication related subject matter.

Key Accountabilities:

- Responsible for completing the review, supervision and final approval on behalf of the MFDA and IIROC Dealers for all advertising, sales communications, and co-op marketing requests for Advisors and Head Office.
 - Be a subject matter expert on the regulatory requirements as they relate to sales and marketing communications.
 - Ensure sales communications and co-op requests are compliant with regulatory requirements and company policy.
 - Produce a well-documented audit trail of the supervision process to evidence that reviews and approvals completed by the Sales Communication department were conducted in accordance with regulatory requirements.
 - Detect and report any concerns relating to Advisors' marketing and advertising activities that create risk for the Advisor, the Dealer, and the integrity of the Manulife brand and be able to identify those concerns that require escalation.
 - Provide the Dealer's Advisors with high quality, accurate and timely compliance direction, advice and support and keep advisors informed of their ongoing compliance responsibilities and requirements pertaining to sales communications.
 - Assist the Manager to develop and enhance corporate guidelines with respect to sales communications and co-op marketing supervision processes and remain well informed of industry rule changes.
 - Maintain the strength of the Compliance team and consistency in the application of the supervision process by actively participating in team meetings, contributing toward team goals and participating on team projects.
 - Problem-solve and deal with compliance issues as identified including appropriate resolution and/or appropriate escalation to supervisor.
 - Assist in responding to investigations, audits and regulatory reviews
 - Other duties may be assigned by the reporting Manager
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Job Requirements (Knowledge/Skills/Competencies):

- Bachelor's Degree/College Diploma
- Required proficiency courses: Canadian Securities Course, CSI Conduct and Practices Handbook Course, (if not completed, successful candidate will be required to obtain courses within first year of employment)
- Minimum two years of experience in a mutual fund dealer, a securities dealer or a financial industry related firm.
- Thorough knowledge of the rules and regulations governing the financial services industry with respect to sales communication and co-op marketing material.
- Knowledge of the products offered by the mutual fund and securities dealers
- Good organizational and communication skills
- Possess strong time management skills and highly detail oriented
- Ability to use PC applications and systems including Word, Excel, Outlook, Adobe Acrobat.
- Ability to multi task and perform in a dynamic work environment
- Bilingualism (English & French) preferred