



Securities Registration is a specialized unit within the Advisory Services Compliance department, of both Manulife Securities Incorporated (MSI), a registered investment dealer and Dealer Member of the Investment Industry Regulatory Organization of Canada, and Manulife Securities Investment Services Inc. (MSISI), a registered mutual fund dealer and Member of the Mutual Fund Dealers Association of Canada. Securities Registration is responsible for registration filings for licensing of Supervisors, Officers, Directors, Branch Managers, Advisors, Licensed Assistants and branch locations of the dealers ensuring all regulatory requirements pertaining to licensing are met. Reporting to the Manager, Securities Registration, the Registration Officer facilitates all aspects of registration/licensing with the various regulators, including the Provincial and Territorial Securities Commissions, US State Securities Regulators and IIROC. The Registration Officer acts as a liaison between financial advisors, senior management and regulators.

Key Accountabilities:

- Ensure that the firm and all its supervisors, officers, directors, salespersons and branches are properly licensed with the appropriate securities commissions and regulators.
- Prepare and submit registration applications, amendments and notices with the appropriate regulatory bodies.
- Assist new applicants in the registration application process.
- Provide regulatory licensing guidance to registrants in regards to new applications, change of status, other material changes, and E&O renewals and terminations.
- Maintain supporting documents on file for audit purposes.
- Ensure all the licensing/registration information is accurate and current and that the Database matches the information on the permanent record of the firm and its registrants on the National Registration Database.
- Assist with the reconciliations and allocate the NRD fees and penalties to the branches.
- Provide detailed registration advice to the business and respond to registration inquiries, both corporate and individual.
- Provide superior client service in order to ensure the business revenues and operations are not impacted by filing requests for registration within the established service levels.
- Responsible for ensuring applications are filed in accordance with the regulatory requirements for all securities applications. This may include but not limited to new applications, reactivations and reinstatements of registrations, changes in registration categories, change in status, renewals and terminations.
- Ensure that all registrations are properly licensed with appropriate regulator(s) in a timely manner based on Service Level of Agreements (SLA's)
- Process all business location changes, including Branch office openings and closings and changes in branch office supervision.
- Ensure all Corporate and Firm renewals including, extra-provincial and US renewals are filed in a timely manner and that files are updated accordingly.
- Act as a liaison with Business Development, on matters that relate to individual and the firm registrations.
- Develop and maintain an in-depth knowledge of regulatory and compliance policies and guidelines and provide the relevant information updates to registrants regarding procedural and regulatory changes.
- Establish and maintain relationships with internal departments and regulators.

- Contribute to the development of policies and procedures within the Registrations Department, by reviewing and updating the Registration Procedure manuals and to ensure practices and standards are in line with the national rules, regulations and policies.
- Maintain data integrity and ensure it is entered into various databases within acceptable timeframes.
- Ensure that all supporting documents are properly filed /placed in the appropriate folders to comply with internal firm policies as well as regulatory requirements, as outlined in the company document retention policy.
- Respond to detailed written and telephone inquiries from regulators, registrants and internal staff in an accurate and professional manner, within acceptable timeframes.
- Research, develop, coordinate, execute and manage special projects that are assigned by the reporting manager.

Job Requirements (Knowledge/Skills/Competencies):

- Bachelor's Degree/College Diploma
- Industry certification is preferred
- 2 years of experience in dealer back office with a solid understanding of IIROC/MFDA dealer business
- Strong knowledge of the rules and regulations governing the securities industry
- Solid ability to communicate complex information with the ability to clearly explain verbally and in writing issues and circumstances to all levels of staff and management
- Ability to interact effectively with management and counterparts in other business areas
- Excellent customer service skills and negotiation/conflict resolution skills.
- Strong time management and project management skills
- Attention to detail
- Excellent organizational, research, investigative and analytical skills
- Ability to be flexible and adaptable to change
- Excellent knowledge of administrative processes and procedures
- Proven ability to work as a team player as well as the ability to work independently with minimum supervision
- Positive attitude, strong work ethic and works well under pressure
- Professional attitude and adherence to high ethical standard
- Comfortable working with a wide variety of internal information systems
- Excellent PC skills (Word, Excel, Outlook, Adobe Acrobat, One Note etc.)
- Bilingualism (English & French) an asset

Please apply directly via this link: https://manulife.wd3.myworkdayjobs.com/MFCJH_Jobs/job/Oakville-Ontario/Securities-Registration-Compliance-Officer_JobReq0435240-1