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Working Arrangement  
Hybrid

Location  
Hybrid Oakville, Ontario  
CAN, Ontario - Full Time Remote  
Toronto, Ontario

#### Job Description

The Sales Communications Compliance Officer will report directly to the Senior Compliance Officer and will be 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 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 (including content distributed through electronic means), and co-op marketing requests for Advisors and Head Office. 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 Communications department were conducted in accordance with regulatory requirements.
- Detect and report any concerns relating to Advisors' marketing and advertising activities that may pose a risk for the Advisor, the Dealer, and the integrity of the Manulife brand and be able to identify those concerns that require escalation.
- Administer the social media compliance monitoring tool. Complete initial reviews and approvals of all Advisors' Social Media profiles and posted content through the compliance tool for IROC and MFDA Advisors for both static and active social media sites (LinkedIn, Twitter, Facebook).
- Conduct ongoing social media supervision, for alerts received under the configured compliance policies for changes to profiles or content that have been flagged and maintain compliance workflow and incident logging.
- Review and approve all Advisors' website material for content run through the Dealer's approved website vendor(s) and custom websites. Monitor for changes to website content using the approved vendor(s) compliance tools. Maintain accurate digital records of the regulatory supervision audit trail and archived data.
- 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.
- Assist the Manager to develop and improve 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.
- Assist in responding to investigations, audits, and regulatory reviews
- Other duties may be assigned by the reporting Manager

#### Job Requirements (Knowledge/Skills/Proficiencies):

- Bachelor's Degree/College Diploma
- Preferred proficiency courses: Canadian Securities Course, CSI Conduct and Practices Handbook Course
- Minimum two years of experience in a mutual fund dealer, a securities dealer, or a financial industry related firm preferred
- Detailed 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
- Strong technology knowledge and skills
- Strong interpersonal skills and ability to prioritize tasks
- Must possess outstanding communications skills, verbal and written
- Possess strong time-management skills and highly detail oriented
- Must be adaptable and able to react to changing needs

- Ability to use PC applications and systems including Word, Excel, Outlook, Adobe Acrobat
- Ability to multitask and perform in a multifaceted work environment
- Bilingualism (English & French) preferred

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About John Hancock and Manulife

John Hancock is a unit of Manulife Financial Corporation, a leading international financial services group that helps people make their decisions easier and lives better. We operate primarily as John Hancock in the United States, and Manulife globally, including Canada, Asia and Europe. We provide financial advice, insurance and wealth and asset management solutions for individuals, groups and institutions. Assets under management and administration by Manulife and its subsidiaries were CAD\$1.3 trillion (US\$1.1 trillion) as of June 30, 2021. Manulife Financial Corporation trades as MFC on the TSX, NYSE, and PSE, and under 945 on the SEHK. Manulife can be found at [manulife.com](http://manulife.com).

One of the largest life insurers in the United States, John Hancock supports more than 10 million Americans with a broad range of financial products, including [life insurance](#), [annuities](#), [investments](#), [401\(k\) plans](#), and [education savings plans](#). Additional information about John Hancock may be found at [johnhancock.com](http://johnhancock.com).

Manulife is an Equal Opportunity Employer

*At Manulife/John Hancock, we embrace our diversity. We strive to attract, develop and retain a workforce that is as diverse as the customers we serve and to foster an inclusive work environment that embraces the strength of cultures and individuals. We are committed to fair recruitment, retention, advancement and compensation, and we administer all of our practices and programs without discrimination on the basis of race, ancestry, place of origin, colour, ethnic origin, citizenship, religion or religious beliefs, creed, sex (including pregnancy and pregnancy-related conditions), sexual orientation, genetic characteristics, veteran status, gender identity, gender expression, age, marital status, family status, disability, or any other ground protected by applicable law.*

*It is our priority to remove barriers to provide equal access to employment. A Human Resources representative will work with applicants who request a reasonable accommodation during the application process. All information shared during the accommodation request process will be stored and used in a manner that is consistent with applicable laws and*

*Manulife/John Hancock policies. To request a reasonable accommodation in the application process, contact [recruitment@manulife.com](mailto:recruitment@manulife.com)*