



COM00610- Compliance Manager

Role Summary:

Sun Life Financial's Individual Compliance team is looking for a Compliance Manager to join their dynamic team, reporting to the Director, Trust & Product Compliance in Waterloo, Ontario. The role will focus on compliance in regard to individual insurance and wealth products, including segregated funds and trust. This person will work with the product development management teams and operations areas to promote ethical product disclosure that is plain language and conforms with applicable regulations to support our Advisors' sales activities. A financial planning background will support your ability to engage effectively on projects where strategies are reviewed. Understanding of products and succession law would be helpful.

Main Accountabilities:

- Participate in product development projects for any Individual
- Responsible for reviewing & approving marketing material to ensure compliance with market conduct and regulatory requirements
- Support the assessment of regulatory requirements and provide analysis for business management
- Participate in or lead working groups to identify legislative/regulatory risks and monitor corresponding control measures for individual business units
- Lead projects for the Regulatory Consulting team

Competencies:

The incumbent must be able to manage their time effectively on multiple initiatives simultaneously, work with peers, and senior management. A genuine passion for working in teams with people and providing first class service to them is a minimum expectation.

- Able to apply professional judgment related to the development of products and issues that arise on inforce products
- Able to read, understand and communicate the impact of legislation
- Able to apply company policies, guidelines and procedures
- Able to apply industry practices as they emerge
- Can determine the appropriate escalation path when compliance issues are encountered
- Sufficient business acumen to adapt to & apply regulatory changes to SLF business model
- Solid communication and influence skills with proven ability to explain difficult concepts in a manner that makes the audience empowered and able to make the connection
- A solid background in customer service and with a willingness and ability to execute
- Dependable with ability to set effective priorities with stakeholders and meet deadlines
- Willingness to change direction when necessary and pitch in where needed
- Comfortable seeking direction and eager to do the research to get the answer

Qualifications:

- 3 - 5 years of relevant working experience in financial services or a post secondary education in a related field
- Understanding of some products
- Proven knowledge and interest of the financial services industry
- Thorough knowledge of provincial laws and regulations governing insurance, trust products and investments
- Excellent analytical and problem solving skills

Assets:

- Completion of industry education (e.g. CFP, PFP, LOMA (AIRC), IFIC, CSC, LLB) would be an asset
- Good knowledge of the business operations of Sun Life Financial

Notes/Unique Requirements:

- Occasional travel may be required (less than 10%)

We thank all applicants for showing an interest in this position. All internal candidates will be contacted regarding the status of their application. If you have any questions, please contact your Recruiting Consultant.

Job Family - Compliance

Job Type - Full time/regular

Job Band - 6

Hiring Manager - Tammy Robinson-Simmons

Primary Location - CA-ON-Waterloo

Date Posted - Jan 26, 2012

Recruiter - Lise Burke

Applications can be submitted through this link:

http://sunlifefinancial.taleo.net/careersection/workday_can/jobdetail.ftl