



**Position Title:** Sales Manager / Chief Compliance Officer for Alternative Investment Brokerage

**Position Details:** full time, salary (dependent upon experience), benefits negotiable, to start as soon as possible

**Job Description:**

Due to exceptional growth and changes in legislation for the exempt market industry, Alberta Land & Investment Brokers is looking for a Sales Manager and Chief Compliance Officer (CCO). This new position is instrumental in the success of our brokerage moving forward.

Reporting to the CEO, the Sales Manager/CCO will be responsible to develop and improve sales of the brokerage, as well as monitor and assess compliance by our brokerage and its individual representatives to new securities legislation.

The Sales Manager role will include coaching and motivating sales staff, and developing and implementing sales plans/goals to ensure the brokerages financial objectives are met and that customers are served in a highly professional manner and receive the highest level of service.

The CCO role will be required to establish, maintain, and apply a system of controls and audits (a compliance system), which will provide reasonable assurance that the firm & its individuals comply with legislation, and manage the brokerage's risks as prudent business practice. The CCO will also be required to document the compliance system into a manual, to be provided to all individuals within the firm.

Duties for both roles will include supervision, coaching, systemic monitoring, and being detailed in creating and maintaining policies, procedures, and brokerage records.

Reporting to the CEO, the Sales Manager/CCO will advise of any agent issues, sales progress reports, and non-compliance, suspected and/or documented. Annual reports may be required to the CEO and the brokerage's board.

The ideal candidate will have exempt market or private placement industry experience, as well as either:

- 1) CSC & PDO OR
- 2) EMP & PDO

**Job Requirements/Skills:**

Coach and motivate brokerage sales reps on the development of new customers and solicitation of business from existing and prospective customers to ensure that established objectives goals are met

Actively conduct & participate in bi-weekly sales meetings with ALIB's other Managers, reporting accurate pipeline information and supporting the sales efforts of the overall area. Also arrange to have our partner companies to come in to facilitate training. Ensure reps receive other one on one training as needed.

Actively promote the Brokerages products and services in a professional manner, maintaining established performance levels.

Keep current on product knowledge, competition and on compliance issues related to deposit and lending products. Ensure compliance with securities, and ensure that reps complete, and keep current on all compliance training requirements.

Maintain a positive working relationship with the brokerage reps to ensure the continued generation of customer referrals; follow up on referrals in a timely manner; and provide feedback to others. Provide performance feedback to the rep.

Ability to work as a member of a team as well as being self motivated and self directed.

Ability to create, envision, and direct projects from start to finish.

Superior time management skills required: strong organizational and work planning skills.

Highly effective verbal and written communication skills.

Develop and maintain strong relationships with internal and external clients and contacts.

Demonstrate a high level of performance, commitment and a sense of urgency.

Demonstrate integrity: conducts all aspects of business in a professional manner to the highest level of ethical and regulatory standards.

We thank all interested candidates however only those selected for an interview will be contacted.



**Qualifications:** \* Canadian Securities Course (CSC) and PDO (Personal Directors & Officers course)  
\* Post Secondary education  
\* 2+ years of exempt market business and/or compliance experience  
\* Proficient in Microsoft Office applications  
\* Very knowledge of investment / financial industry  
\* Bondable

**Assets** \* CFA or other accounting designation  
\* Experience with compliance in a mutual fund brokerage

Please contact Darvin Zurfluh, CEO direct at [darvin@albertafinancialsolutions.com](mailto:darvin@albertafinancialsolutions.com)

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