

Case Study

OFFICERS', PARTNERS', AND DIRECTORS' COURSE (OPD)



Ella Arsenault is a Branch Manager and Compliance Officer at Excel Private Wealth. While she had already been a Branch Manager prior to taking the Officers', Partners', and Directors' Course (OPD), she was looking to expand her responsibilities.

Ella viewed the OPD as the next logical career step, since the course would allow her to gain capabilities related to compliance – an area of growing importance in financial services. The OPD helped her reach her goals, as she became qualified for the Compliance Officer role and now serves as backup to the company's Chief Compliance Officer.

Ella chose the OPD because of IFSE's reputation as a leading education provider. She had taken IFSE courses before – namely the Canadian Investment Funds Course, Exempt Market Proficiency Course and Branch Managers' Examination Course – so she was familiar with IFSE's ease of registration, user-friendly course format and “study at your own pace” flexibility.

When considering her experience with the OPD, Ella thought all the content was valuable and equipped her with the knowledge to succeed in compliance. Learning about suitability rules, “Know Your Client” requirements and risk management procedures helped her immediately in her compliance duties. She found the OPD to be well planned and comprehensive. The course helped her achieve the next level of responsibility and opened the door for future career advancement.

How has the OPD helped Ella in her day-to-day job?

“From a compliance perspective, I understand the rules and regulations as they pertain to the client-advisor relationship, and this knowledge is crucial in my role. As an example, when we were revising certain client information forms, I knew exactly what sections were needed and what details we had to gather from clients. This made the process more efficient and resulted in accurate, compliant forms.”

Advice from Ella for other students taking the OPD



“Be sure to do the test questions, as they help you learn the material. If you don't know the answer to a question, don't just guess because you'll likely be wrong. Go back to the course content, find the right answer and then return to the test to reinforce your learning. Otherwise, both the right and wrong answers could pop into your head at the exam, since your mind will recall having chosen both answers during the practice test.”



YOUR PARTNER IN
FINANCIAL SERVICES EDUCATION
VOTRE PARTENAIRE DANS
L'ÉDUCATION DES SERVICES FINANCIERS

www.ifse.ca