

Let's Talk Business

For Ted Rogers School Students

These reports describe industry sectors and career paths of interest to Ted Rogers School students and alumni. Each report leverages BCH employment data and the expertise of our staff. This collaborative effort engages staff, students, alumni and the University Business Librarian.

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A Day in the Life of a Senior Compliance Specialist

We had a conversation with Christina Curtis, who graduated from Ted Rogers with her Bachelor of Commerce in Law & Business in 2020. Christina previously worked as a Branch Operations Assistant, Compliance Manager, and Administrative Assistant at RBC Dominion Securities.

Christina was recently promoted to *Monitoring & Testing Manager, Regulatory Compliance at Coast Capital Savings* but this report is based on her previous role with the company as a *Senior Compliance Specialist*.



Coast Capital Savings is a credit union that provides financial services such as online banking, automotive and equipment financing, and many more. Headquartered in Surrey, British Columbia, it is one of the largest credit unions in Canada.

Q: What do you do on a "day-to-day" basis in your current role as a Senior Compliance Specialist at Coast Capital Savings?

A: Our company is based in British Columbia, so the first thing to do is catch up on anything that happened the day before that I may have missed due to varying time zones. Compliance professionals usually wear many hats - I have more of an oversight function in my role. That means, the next part of my morning is spent checking for outstanding requests that may be due that day, or drafting emails requesting for additional information needed to complete my duties. I then catch up on any regulatory changes impacting the industry and continue to become more familiar with any Act that may influence my work. Right now, I am reviewing changes to the Bank Act.

For the rest of the day, I review complaints submitted by members of the credit union, to ensure our our team has addressed with them in alignment with our regulatory requirements. Anything that is not, will be identified, and at month's end, I will present my findings. Another essential task in my day is to answer any internal queries about our regulatory requirements, such as 'how to create procedures', 'training requirements' and/or 'how to monitor controls' effectively. This includes participating in meetings or simply responding, via email, and outlining the best way to proceed in order to mitigate as much risk as possible.

Q: What technology platforms do you use in your role?

A: Customer Relationship Management (CRM) is the main hub for internal member information. This platform allows us to see our members' information, preferences, opportunities, complaints and incidents. From a compliance standpoint, we can keep track of member complaints and incidents to ensure we meet regulatory requirements while spotting trends. Tableau is another platform used throughout the company, and it helps us visualize trends and showcase our work clearly and concisely.



CRM and Tableau are the Primary Platforms I Utilize

Q: How does your industry impact the world?

A: Compliance is a growing industry. Almost every company has or will have to have a compliance department to oversee its regulatory requirements. Ultimately, compliance works to reduce or mitigate risk. Having a handle on regulatory requirements allows organizations to perform efficiently and effectively, which also means that organizations can shift their focus on doing better for their consumers and employees.

Q: Which industry trends should Ted Rogers students be aware of?

A: Professionals in the compliance industry are in demand. I recommend that Ted Rogers students identify their areas of interest, and then find organizations that align well. There are so many different industry sectors- like IT, Privacy, Wealth Management, etc. - that are changing constantly, and even a brief understanding of this industry and the trends affecting it, can make you stand out in an interview.



Q: What advice would you provide a Ted Rogers School student who aspires to work in your industry?

A: I recommend that you never stop learning. You will never be bored in this field because regulations, policies, and procedures constantly change. An open mind and an appetite for new information will allow you to reach new levels in this profession. In addition - be innovative. Although my work may seem more black and white, due to the work being so closely tied to laws and regulation, I can tell you, it never is. You should be ready to present your ideas on improving process and be pro-active in finding ways to identify and /or mitigate risk.

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Career Consultant Contributor Olivia Baratta

Olivia is a Career Consultant and Ted Rogers Alumni, with 9+ years of experience in the hospitality, real estate and academic sectors. She brings her passion for building meaningful experiences for her clients to develop and showcase their unique brand.



Student Contributor Terel Leslie

Terel is a student in the Human Resources Management program and is starting an internship at Deloitte this Summer. He is deeply interested in the world of workforce management and development and strives to pursue a career in the human resources field.