

RAYMOND JAMES®

SENIOR BRANCH ADMINISTRATOR

Toronto, ON

Job Posting # 21-032

Raymond James Ltd. is seeking a Senior Branch Administrator to work in our Toronto branch.

Raymond James Ltd. is Canada's leading independent investment dealers offering high quality investment products and services to Canadians seeking customized solutions to their wealth management needs.

The role of Senior Branch Administrator has a dual purpose: branch administration as well as providing ongoing supervisory support to the Assistant Branch Manager (ABM) and Branch Manager (BM).

Specifically you will:

- As directed by the ABM or BM, conduct daily, weekly and monthly review of transactions and other retail activity within the branch with the purpose of detecting violations of IIROC Rule 2600 and IIROC Uniform Market Integrity Rules;
- As directed by the ABM or BM, review, approve or reject trade and error corrections, new account applications, material updates to existing accounts and advertising materials;
- Respond to requests from Financial Advisors and support staff on various compliance issues;
- Maintain a working knowledge of the industry and AML rules and regulations as well as RJL policies and procedures by reading regulatory bulletins and notices as well as internal bulletins and policy and completing industry or internal courses that would fulfill your CE requirements on a timely basis;
- Provide ongoing education to advisors about existing and new regulations governing retail activity;
- Provide back-up (i.e. assist with trade entries) to Financial Advisors when absent;
- Assist with completion of internal and external compliance audits;
- Supervise branch administrative staff and manage Human Resources issues;
- Assist Financial Advisors and Sales Assistants in dealing with their work concerns and interaction with back office operations in order to facilitate client support;
- Develop and maintain necessary records and controls for the Branch Manager in order to ensure efficient operation;
- Assist Branch Manager in achieving business objectives including preparation of branch budgets, the review of month end financial reports, and the resolution of variances;
- Escalate issues to the Branch Manager as needed; and
- Other duties as assigned.

To qualify for this opportunity you possess:

- A minimum of 3-5 years in the Investment Brokerage or Financial Services Industry;
- Diploma or degree or an equivalent combination of experience education, and/or training;
- Successful completion of the Branch Managers Course;
- Successful completion of the Canadian Securities Course as well as the Conduct and Practices Handbook;
- Successful completion of Registered Representative licensing;
- Previous Supervisory or Management experience is an asset;
- Excellent written and verbal communication skills;



- Well-developed interpersonal skills and the ability to handle confidential information with tact and discretion;
- Excellent proficiency with MS Word, Excel, Outlook;
- Ability to organize, manage and track multiple detailed tasks and assignments with frequently changing priorities in a fast-paced work environment;
- Ability to effectively manage time;
- Exceptional client service skills;
- Excellent decision-making skills;
- Proactive thinking and excellent problem solving abilities;
- Ability to work effectively both independently and within a team environment;
- Ability to assume numerous roles and responsibilities;
- A predisposition to pay attention to detail; and
- A friendly and professional manner.

This is a permanent full-time position with a competitive compensation and benefits package.

To learn more about the branch and Raymond James, visit our website at www.raymondjames.ca.

If you would like to join our team, please send a resume and covering letter, **quoting the position and Job Posting # 21-032 by March 26, 2021** to:

Human Resources
 Raymond James Ltd.
 E-mail: resumes@raymondjames.ca

To be considered for employment candidates will be required to provide proof of citizenship, permanent residency or eligibility to work in Canada with no restrictions. We require applicants to complete a background verification process prior to commencing employment with the company, including but not limited to a credit and criminal record check. Employment is contingent on the satisfactory completion of a pre-employment background check.

We sincerely thank all applicants who express an interest in this role: only those being directly considered will be contacted.

Raymond James Ltd. recognizes the value of a diverse workforce and appreciates the unique skills and special contribution of each employee. We are committed to accessibility for candidates through all stages of the recruitment process. Should you require accommodation, please contact Human Resources via email at resumes@raymondjames.ca.

