



Your name and address here

Enthusiastic, resourceful, and skilful administrative professional with expertise in daily business operations, finance, administrative support, and staff development. Proficient in policy and procedure development, data maintenance, and office management. Demonstrated ability to efficiently meet deadlines, manage priorities, multi-task, and work with little supervision. Excellent communication skills.

PROFESSIONAL EXPERIENCE:

Company Name, City, Province

Branch Administrator

(Dates worked)

- Provide operational and administrative support to branch staff, including Sales Assistants, Investment Advisors and the Branch Manager
- Act as liaison between the branch and operations support areas of the firm
- Assist the Branch Manager with efficient and effective office management, and help monitor branch adherence to audit and compliance related policies
- Process invoices and complete the monthly branch expense report
- New Issue Coordinator
- Process cheques, securities certificates and deposits
- Reconcile bank accounts and securities transit accounts
- Check re-org notices daily and distribute to branch
- Maintain branch marketing/correspondence file
- Monitor any incoming leads on the internal referral system
- Retain branch files and records for the periods of time required by the regulators
- Maintain personnel files and provide necessary documentation for Human Resources
- Coordinate repair and maintenance of all office equipment
- Track compliance queries in a Daily Trade Review Queries Log
- Order office supplies and stationery as required
- Control incoming and outgoing mail
- Control the issuance of New Account numbers
- Assist the Branch Manager with updating and maintaining the Business Recovery Planning (BRP) file
- Act as a resource regarding workstation applications, operational policies and administrative procedures
- Meet regularly with the Branch Manager and the Sales Assistants

Sales Assistant

(dates worked)

- Provide a professional level of client service, sales and administrative support to Investment Advisors and clients
- Assist with the management of client accounts by executing and following up on trading instructions, short positions and margin calls
- Maintain client files
- Verify and correct any errors or omissions in the daily transaction summaries
- Process client applications prepared by the Investment Advisor and ensure industry regulations and firm policies are complied with
- Process corporate action instructions
- Prepare transfer forms and submit to transfer department

EDUCATION AND INDUSTRY TRAINING:

- Canadian Securities Course (1981)
- Registered Representative Course (1981)
- Options Course (1982)
- Introduction to Operations Course (1983)