



Senior Branch Manager

PortfolioHiWay is a Canadian full service CIRO investment dealer focused on bringing innovative investment solutions to high net worth individuals and their advisors. We leverage innovative technology to streamline processes in order to make investing simple and effective.

We are looking for a Senior Branch Manager to be responsible for providing ongoing supervision of the firm, Portfolio Managers and advisors registered with CIRO (formerly IROC).

Responsibilities of the role will include:

- Advising and supervising members of the firm
- Assist with investigations related to complaints and regulatory inquiries
- Perform branch audits/examinations under Portfolio HiWay audit program
- Identify and escalate any areas of non-compliance
- Review and approve new accounts and related required documentation to ensure completeness and follow-up on any deficiencies noted within a reasonable time frame
- Complete and provide evidence of and follow up on any deficiencies noted in the daily, weekly and monthly trade and account reviews, with such reviews performed in accordance with securities regulatory requirements and compliance policies and procedures
- Be responsible for ongoing education and training of both registered and non-registered representatives to ensure awareness of and compliance with new and revised securities regulatory requirements and internal supervisory and compliance policies and procedures
- Establish an effective filing system to ensure all client and branch files are current and up-to-date and contain all required documents
- Effectively control access to supervisory records and files to ensure client confidentiality
- Build on the strength of the team by actively participating in team meetings, contributing toward team goals and participating on projects.
- Other duties as assigned

The ideal candidate will have the following qualifications:

- Registerable as a Supervisor of PMs and Registered Representative with CIRO
- Professional background in the financial services industry preferably with a CIRO (formerly IROC) dealer (minimum 7-10 years)
- Completion of the CSC, CPH and Supervisors courses
- Degree or an equivalent combination of experience, training and education. CFA or CIM Designation.
- Organizational and prioritization skills to be able to work in a multi-tasking environment.
- Attention to detail and ability to exercise sound judgement
- Strong communication, interpersonal, negotiations and influence skills with all levels of the organization



- Highly developed conflict resolution skills
- Comfortable making presentations to groups
- Excellent English communication skills (written and verbal). French proficiency is considered an asset to the role
- Ability to exercise discretion when handling confidential information
- Proficient in using Microsoft Office, G Suite programs and other software applications
- Demonstrated ability to problem-solve and give the team direction and advice based on solid reasoning
- Possess a drive to lead, build, learn and improve and a “can-do” attitude
- Collaborative and supportive of colleagues and business goals

PortfolioHiWay is proud to be an Equal Opportunity and Affirmative Action Employer. We evaluate qualified applicants without regard to race, national origin, religion, gender, sexual orientation, gender identity, disability, protected veteran status, and other statuses protected by law.

We are committed to providing accommodations for people with disabilities in all aspects of the recruitment and selection process. If you require accommodation or special assistance, please send an email with your request to careers@portfoliohiway.com. Your information will be treated as confidential.

If you are interested in applying for this position, please submit your resume and cover letter by email to [**careers@portfoliohiway.com**](mailto:careers@portfoliohiway.com)

We sincerely thank all applicants for their interest, however only those in consideration for the opportunity will be contacted.