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# Example of Supervision Manager Job Description

Our company is looking for a supervision manager. We appreciate you taking the time to review the list of qualifications and to apply for the position. If you don’t fill all of the qualifications, you may still be considered depending on your level of experience.

## Responsibilities for supervision manager

* Work with business and other key stakeholders to relook at existing controls
* Develop and produce programme reporting and tracking documentation, including multiple work streams and projects across lines of business
* Become the ‘go-to’ person for all initiatives being worked on and successfully deliver on own projects from day 1
* Leadership for team of corporate Registered Principals providing direct supervision for advisors' sales practices
* Developing and tracking key metrics and business drivers, and providing decision support for leaders
* Serving as subject matter expert providing leadership and support across the CSU and the broader enterprise
* Communicating with advisors, field leaders and field oversight regarding results of supervisory activity, including one-on-one training
* Communicating with clients regarding activity to determine suitability
* Direct supervision of advisory services to determine suitability of service and recommendations, adherence to ADVs and assessment of fees charged
* Selection of appropriate targeted client advisory relationships including analysis of all advisory relationships within an advisor's practice to determine those presenting the most risk to our clients and firm

## Qualifications for supervision manager

* Strong understanding of the transaction lifecycle and risk and control concepts, along with an appreciation for the current global regulatory environment
* Ability to quickly grasp concepts and identify key points of existing control processes
* Excellent communication skills, comfortable with facing off to Business Heads and senior figures across various CIB functional areas (Legal, Compliance)
* At least 7 years financial services industry experience with proven success in supervision, compliance or product functions
* Experience working with advisors and an in-depth understanding of advisor business practices and field structure
* Ability to anticipate needs of sr