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# Example of Supervision Manager Job Description

Our company is looking to fill the role of supervision manager. Thank you in advance for taking a look at the list of responsibilities and qualifications. We look forward to reviewing your resume.

## Responsibilities for supervision manager

* Communicate with clients, when needed, regarding activity to determine suitability
* Serve as subject matter expert providing information and/or research to business partners including compliance cases
* Partner with Marketing and Sales to create go-to-market plans, sales initiatives, and drive revenue in face-to-face meetings with enterprise buyers
* Conduct in-depth sales practice reviews surrounding products such as general securities, options, annuities, insurance, and managed accounts
* Responsible for handling case referrals from Complaints and Investigations, Field Office Inspections, and Surveillance
* Supervision of alternative investments, including non-traded Real Estate Investment Trusts (REITs) and Business Development Companies (BDCs)
* Interfaces with specific business platform sales management associates to inform them of any supervisory concerns that may arise with branch offices and work together with them to address these concerns to resolve any conflicts that may arise to the client accounts of branch managers
* Conduct review of daily trade activity via the on-line trade blotter (ProSurv or other required systems) for sales activities in certain products
* Develop a system and implement oversight of all trade activity reviews performed by the Supervisory Analysts
* Perform monthly account reviews in connection with certain products

## Qualifications for supervision manager

* Bachelor’s degree or equivalent employment
* Demonstrated ability to lead cross-organizational projects and initiatives
* Proven ability to recognize and capitalize upon opportunities to improve business results, including client and advisor experience
* In depth knowledge of key regulations relating to direct investments and complex products, along with corresponding risk profiles
* Familiarity with advanced trading strategies and derivatives, high net worth clients
* Strong working knowledge & experience with regulatory rules