Downloaded from <https://www.velvetjobs.com/job-descriptions/supervision-manager>

# Example of Supervision Manager Job Description

Our innovative and growing company is hiring for a supervision manager. If you are looking for an exciting place to work, please take a look at the list of qualifications below.

## Responsibilities for supervision manager

* Work with Supervisory Solutions manager to monitor trends, gaps, areas of concern related to the products/activities being monitored
* Work closely with Head, BSG
* Maintain an appropriate level of expertise on the products and related policies being supervised
* Use existing review form to complete semi-annual audits of each individual FSA/BFA/SRM location, ensuring compliance with all policies, procedures, settings and circumstances
* Perform administrative duties to support the business, time & attendance, self-audits, absence reviews, regulatory training records
* Review, and analyze TIC data submitted by multiple data providers to ensure it meets expectations and requirements
* Provides direct leadership of Centralized Supervision Unit \(CSU\) Trending and Heightened Supervision registered principals \(T&HS RPs\), who are responsible for reviewing advisor business practices and executing day-to-day supervision of advisors on formal heightened supervision plans
* Provide coaching, development, and performance management to direct reports
* Collaborate and drive consistency with field leaders on consequence management decisions
* Act as subject matter expert and provide resolution on escalated supervisory issues, including ability to drive consensus with business partners at all levels of the organization

## Qualifications for supervision manager

* Industry designation(s) such as CFP, ChFC or CLU
* Bachelor’s degree or equivalentt and relevant work experience
* Series 7 plus Series 24
* OR Series 7 plus Series 9/10
* Series 7, 63, 24 (or equivalent 8, 9/10 acceptable with passing of 24 within 90 days of hire) and 65 or 66, required
* Insurance licensed