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

# Example of Supervision Manager Job Description

Our company is growing rapidly and is hiring for a 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

* Collaborate with colleagues within the Business, S&C other technical groups across the Firm in the design and implementation of solutions to meet project goals
* Build relationships with office managers/supervisors and representatives
* Provide direct supervision of Life licensed agents assigned to Insurance Field Offices (IFO)
* Conduct investigations to address sales practice violations and customer complaints
* Actively learn from industry best practice to build the capability of the team in risk based audits and continuous improvement processes
* Foster strong and collaborative relationships with key stakeholder groups, both internal and external to the business
* Actively promote, identify and lead process improvement initiatives to continuously improve the monitoring and supervision framework
* Liaise and coordinate with the Employer for all the project aspects
* Lead, manage and oversee programmes/ budgets/contractors, administration of contracts, development and implementation of Project Execution Plans
* Monitor/oversee change management procedures/ protocols and claims analysis

## Qualifications for supervision manager

* Minimum 7-10 yrs broker dealer/regulatory experience
* Versatility, flexibility, and a willingness to work within a constantly changing structure
* Thorough knowledge of Financial Services industry products and compliance
* The ability to travel as needed within the region
* Series 4 and 51/53, or 9/10 required (or ability to obtain within 90 days) • Series 66/IAR required (or ability to obtain within 90 days) to obtain within 90 days) • Series 66/IAR required (or ability to obtain within 90 days)
* Series 7,Series 24, Series 4/53 or Series 9/10, State Securities (S63 or S66), State IAR (S65 or S66)