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# Example of Supervision Manager Job Description

Our innovative and growing company is searching for experienced candidates for the position of 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

* Be a hands-on project manager with experience in managing a team of professionals and working closely with clients to ensure the success of any project/task undertaken
* Monitor the day to day activities
* Has technical capabilities and has worked earlier as Snr
* Supervision of structured products business line
* Perform suitability reviews of client transactions in structured products
* Serve as subject matter expert on structured product offerings and supervisory guidelines to a range of business partners, including CSU staff and employees in WMS Products, Service Delivery, Legal and Compliance
* Communicate with advisors and field leaders regarding results of supervisory activity
* Deliver one-on-one training and education to advisors
* Receive case referrals from Complaints and Investigations, Field Office Inspections, and Surveillance
* Review qualified plan rollovers to ensure compliance with the DOL Fiduciary Rule

## Qualifications for supervision manager

* Strong knowledge or desire to learn about the features and benefits of annuity and insurance products and complex sales strategies
* Series 7 plus Series 24, or plus Series 9/10
* Strong ability to influence positive advisor behavior through coaching and education utilizing a supportive and consistent approach
* Knowledge of Centralized Supervision Unit operations and business processes preferred
* Work with product lines and control functions to establish an appropriate and effective risk management framework that mitigates non-financial risk and demonstrates compliance with applicable laws, rules and regulations
* Implement material regulatory matters including, but not limited to, MiFID II, MAD II, FATCA and the German Bank Separation Act