



Job Title: Supervision Analyst
Job Classification: Full time, salaried position
Work Hours: 8 a.m. to 5 p.m. with applicable breaks

Job Duties

The Supervision Analyst will perform principal review of the business activities of the firm's financial professionals whose responsibilities will include but are not limited to:

- Review and approval of new account applications
- Review and approval of brokerage, direct and advisory transactions for suitability
- Review RIA transactions
- Review of 3050 Personal Trading Accounts
- Review surveillance reports for trends and follow up with registered representatives
- Provide guidance to registered representatives and principals on company policies, procedures and regulatory requirements
- Form working relationships with registered representatives to develop their daily business practices
- Conduct office visits and branch audits when needed

Qualifications

- Bachelors Degree in a business related field
- Series 7, 24 and 63 required
- One to three years experience in securities compliance or supervision

Competencies

- In-depth understanding of federal and state regulations regarding broker-dealers
- Strong written and verbal communication skills
- Ability to work well with others, both in the home office and with our Registered Representatives and OSJ offices
- Strong organizational skills
- Working knowledge of Microsoft Word and Excel

Benefits

- Employer paid medical
- 2 weeks vacation granted after 1st year anniversary date
- Holidays plus market close days