



## **JOB DESCRIPTION**

**TITLE:** Senior Supervisor

**DEPARTMENT:** Branch Supervision Department

Independent Financial Group, LLC (IFG) an independent broker-dealer in San Diego, California is currently seeking an experienced financial services compliance professional to fill the role of Senior Supervisor in the Branch Supervision Department. IFG, America's Finest Broker-Dealer™, is an independent broker-dealer based in San Diego, California with 550 representatives located in over 300 offices across 39 states. IFG has been named locally by the San Diego Business Journal as one of San Diego's Fastest-Growing Private Companies for the past several years. Nationally, IFG's success has been recognized in numerous financial services industry publications and received a 9.7 score in REP. Magazine's Independent Broker-Dealer Report Card for 2015. IFG has also gained Inc. Magazine's Honor Roll status for multiple consecutive mentions on their annual Inc.500|5000 list. Most recently, IFG was named #5 on Investment News' list of Fastest-Growing Broker-Dealers in the country.

### **Roles and Responsibilities**

- Conduct supervisory review of New Accounts and supporting documentation
- Conduct thorough and effective supervisory reviews of transactional business and activity
- Perform supervisory review of various trade blotters and reports
- Train advisors and their staff with reference to IFG policies and procedures
- Foster working relationships with advisors built on trust and respect
- Collaborate with other internal departments to resolve advisor inquiries
- Special projects and other duties as needed

### **Required Qualifications**

- Series 7, 24, 63 and 65 (or S66)
- Series 4, 51 or 53 preferred
- CA Life Insurance license preferred
- 5+ years of financial industry experience focused on supervisory oversight of registered representatives
- Bachelors degree from an accredited university

### **Competencies**

- Understanding of RIA or Broker Dealer regulations
- Comprehensive supervision background emphasizing on suitability analysis
- Excellent written and verbal communication skills
- Ability to multi-task and prioritize responsibilities
- Detail oriented
- Working knowledge of Microsoft Office
- Knowledge of retirement accounts including recent DOL Fiduciary rule

### **Compensation**

Market-level compensation based on experience. IFG offers a competitive benefits package with Company paid Medical and 401k matching. Include salary history with resume. Send resumes to: [humanresources@ifgsd.com](mailto:humanresources@ifgsd.com)