

## **Job Description Supervision Analyst**

Employee Type:	Exempt
Department:	Supervision
Job Title:	Supervision Analyst
Reports To:	Vice President Supervision
Manages Others:	No
Industry Experience:	At least 2 years
Minimum License(s):	7, 24, 63 and 65 or 66, 51 or 53
Date:	1/1/2023

### **Nature and Scope**

The Supervision Analyst will utilize a variety of systems and software programs (AFO, Riskalyze, Orion, Jaccomo, Global Relay, Albridge, NetX360, etc.) to run and maintain certain supervision reports to review, monitor, and track various activities (such as client records, trading activity, and electronic communications) of our representatives who report to the Home Office. The Supervision Analyst will work with the Home Office OSJ Managers to help assess various risk factors of these underlying review, monitor, and tracking activities.

The Supervision Analyst will also have delegated responsibilities to back-up the Home Office OSJ Managers as needed. This position requires the Supervision Analyst to be knowledgeable of industry regulations, Firm policies and procedures, and be able to convey these regulations and policies and procedures in a professional and articulate manner to the Firm's internal employees, supervisors, OSJ Managers, and registered representatives.

The Supervision Analyst is expected to be acutely aware of all regulations and Firm policies that affect the business of the Firm's registered representatives and adequately utilize industry references and resources from regulatory agencies to keep abreast of the regulatory landscape. Additionally, the Supervision Analyst may be assigned various ad-hoc projects and ongoing duties to support the Supervision Department and/or other departments as needed.

### **Essential Duties and Responsibilities**

1. Run and maintain various supervision reports on representatives' trading activity.
2. Monitor and review electronic communication of OSJ Managers and Registered Representatives that report to a Home Office OSJ Manager.
3. Blotter review of transactions of OSJ Managers and Registered Representatives that report to a Home Office OSJ Managers.
4. Review and approval of transactions when a Home Office OSJ Manager is out, or as needed.

5. Act as a back-up for the maintenance of the representative hierarchy, "white list", and confirmation of email archival on the Global Relay system.
6. Written and verbal correspondence with peers, registered representatives, financial institutions, and clients.
7. Provide OSJ Managers and registered representatives assistance regarding supervision and compliance issues, United Planners policies and procedures, and industry regulations.
8. Review documents and information, conduct research, and perform special projects as assigned.
9. Maintain accurate records of inquiries and responses.
10. Report issues that are of concern to a Home Office OSJ Manager and/or VP Supervision.

### **Qualifications**

1. Minimum of two years related experience.
2. Combination of education and experience.
3. S7, S24, S63 & S65 or S66, Series 51 or 53.
4. Effective written and oral communication skills.
5. Analytical skills.
6. Ability to work equally well in a team environment and/or independently.
7. Punctual and able to successfully meet job critical deadlines and effective time management.
8. Understanding of elemental financial equations with the ability to compute figures such as discounts, interest, commissions, proportions, and percentages.
9. Read, analyze, and interpret general industry periodicals, professional journals, technical procedures, and industry regulations.
10. Ability to write reports and business correspondence at a college level.
11. Ability to effectively utilize current Microsoft Windows tools including Word, Excel, and Power Point.
12. Ability to derive practical solutions to problems with a variety of variables in situations where only limited standardization exists.
13. Ability to initiate self-development including continued understanding and application of new regulations, Firm policy changes, and if applicable, additional licensing and coursework to adapt to changes in industry and job demands.

### **Partnership Integrity**

1. Understands and abides by all Firm and departmental policies and procedures as well as the Firm's code of ethics.
2. Participates actively in ensuring that all state and industry rules and regulations are followed as they apply to this position.
3. Attend any required regulatory and/or firm educational meetings.
4. Considers financial impact to Firm through effective use of time, careful planning and efficiency in conducting their own work.
5. Seeks to build an overall culture of compliance amongst colleagues and representatives through constant example and intentional communication.