

OPERATIONS SUPERVISION MANAGER

The Operations Supervision Manager is responsible for overseeing the day-to-day administrative, operational, and supervisory functions performed in the firm's branches for compliance with firm and industry regulations. The Operations Supervision Manager serves as the liaison between the corporate Supervision, Compliance, and Operations teams and the branch and is responsible for training branch personnel on policies and procedures. This position is based in the Richmond, VA corporate office.

Position Responsibilities and Essential Duties

- Onboarding and training of new Client Service Associates and Financial Advisors.
- Review and approval of service requests, such as new account openings, account maintenance, and asset movements.
- Review of client trades for compliance and suitability, including transactions conducted on the firm's custodian platforms and direct held transactions, such as Alternative Investment, Insurance, Annuity and 529 Plan transactions.
- Review client profiles and account activity across platforms, including custodian, financial planning, CRM, and compliance systems.
- Research and resolution of operational issues relating to client accounts and activities.
- Review and approval of incoming and outgoing hard-copy and electronic correspondence and maintenance of branch correspondence file.
- Confirm review and approval of all required firm documents are executed properly and copies are saved.
- Oversight of all branch operational and administrative processes to ensure compliance with regulatory and internal policies and procedures.
- Dissemination of new compliance policies and procedures to branch personnel and ensuring that training requirements are met.
- Other operational and compliance tasks as needed.

Professional Skills

- Five plus years' experience in the wealth management industry in a supervisory or compliance role.
- Strong understanding of broker dealer and investment advisory regulatory variances.
- Knowledge of clearing and correspondent relationships.
- Experience with all areas of branch supervision including advertising, correspondence, transactions, account maintenance requests, etc.
- Leadership or supervisory experience preferred, but not required.
- Strong business process experience with excellent knowledge of branch administration, branch operations, and compliance functions.
- Comprehensive understanding of financial industry rules and regulations (including FINRA, SEC, FinCEN, DOL, etc.)
- Strong written and verbal communication skills to effectively interact and build positive relationships with clients, employees, custodians, and vendors.
- Excellent organizational to manage workflows and prioritize responsibilities.
- Undergraduate degree preferred.
- Series 7, 66, 9/10 or 24 licenses or equivalents.

- Active Life, Health & Annuities insurance license strongly preferred
- Willingness to obtain other licenses as the need may arise.
- Proficiency with Microsoft Office Products – Power Point, Excel, Word, Outlook.
- Basic understanding of technology and system application user access.

Personal Attributes

- Ability to manage and organize large amounts of detail and work effectively on multiple projects simultaneously.
- Ability to quickly assimilate information and address problems in a fast market environment with excellent conceptual and problem-solving skills.
- Collaborative approach to building strong working relationships with advisors and operations support staff across branches.
- Ability to manage through ambiguity and flexibility to adapt to a changing environment.
- Ability to work both independently and in a team environment.
- Ability to lead others directly and indirectly.
- Ability to take initiative on tasks in a small company environment.
- Ability to analyze problems and creatively present solutions based upon prior knowledge and research.
- Highly motivated with an entrepreneurial attitude.

All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, disability or veteran status. Cary Street Partners participates in e-Verify and will submit your I-9 documentation to the federal government to confirm your legal eligibility to work in the United States.