**JOB DESCRIPTION: Sales Supervisor Principal**

**General Summary:**

As the Sales Supervisor Principal of Securities, you’ll play a meaningful role in protecting the firm’s integrity, ensuring adherence to SEC, FINRA, and state regulations while developing outstanding supervisory processes, while shaping the future of risk management in a multifaceted, growth-focused environment.

**Responsibilities and Duties:**

* Lead the firm’s sales supervisory framework, ensuring compliance with internal policies and external regulations.
* Assess risks in trading, sales, and operations, implementing effective risk mitigation strategies.
* Coordinate internal and external audits, address findings, and improve supervisory controls.
* Continuously refine supervisory procedures and technologies to adapt to an evolving regulatory landscape.
* Identify and react to a vast variety of day‐to‐day issues that will affect the company in many ways, both compliantly and logistically, and create realistic plans to overcome them.
* Gather data and compile various reports for management.
* Assist in the development of internal company policies and see that they are respected.
* Work collaboratively with all firm departments and clientele to facilitate problem resolution.
* Answer general incoming calls on an as needed basis.
* Greet visitors with professionalism and courtesy.
* Various Projects, as needed.

**Abilities Required:**

* Must possess strong knowledge and understanding of SEC, FINRA and other regulatory frameworks governing BD activities, including knowledge of trading, sales, and compliance issues in the securities industry
* Requires the ability to make risk-based business decisions and then execute by providing clear and concise directions to employees and clientele
* Must possess a service‐oriented nature, excellent human relations skills and a solid work ethic with a positive attitude.
* Ability to work independently in a fast‐paced environment.
* Must be well organized, flexible and adaptable within a transformational firm.
* Must have strong attention to detail and be able to multitask and switch gears easily.
* Ability to prioritize tasks and goals, ensuring timeliness.
* Ability to communicate well verbally and in writing.
* Must be able to make decisions and recommendations to benefit the firm.
* Financial industry experience and/or experience with financial products/services
* Proficient in computer programs, such as word processing and spreadsheet software programs

**Minimum Licensing and Requirements:** FINRA Series 7, 66 and 24 registration required

**Position**: Full time. Remote or Ann Arbor, MI based.

*This Job Description is not a complete statement of all duties and responsibilities comprising the position. Job descriptions are not intended and do not create employment contracts. The organization maintains its status as an at-will employer. Employees can be terminated for any reason not prohibited by law.*