



## **Sales Supervision**

Lion Street Financial (LSF)/Lion Street Advisors (LSA): Austin, TX, or remote

### **Job Description**

We are seeking a Broker-Dealer (BD) and Registered Investment Advisor (RIA) Sales Supervision professional responsible for supervising all BD and RIA related activities and serve as a home office point-of-contact for all LSF Branch Offices. This is a ground floor opportunity with a dynamic firm with experienced leadership and also includes oversight responsibilities of Investment Advisor Representatives (IARs) of our Lion Street Advisors, our Registered Investment Advisor (RIA). This role will be multi & cross functional to join a team building a differentiated model in the Financial Services industry.

The following are the primary responsibilities for this role based in Austin, Texas:

- Supervisory review of new accounts and trades
- Review the following for firms in assigned region: Annual Compliance Questionnaires, Outside Business Activities, marketing materials, Books & Records submissions
- Monitor and review trading activity for LSF representatives outside brokerage accounts
- Responsible for the review of written and electronic correspondence and books and records requirements for firms in assigned region
- Conduct in person and remote branch office exams
- Monitor policies and procedures for compliance and relevant regulation and industry best practices
- Develop BD training and education materials for the financial professionals
- Assist with regulatory audits, annual exams, and customer complaints
- Work with the CCO and team in strategic planning
- Take an active role in process improvements
- Keep abreast of regulatory changes and updates
- Other duties and projects as assigned

### **Desired Skills and Experience**

The ideal candidate should possess over 2 years' experience in the FINRA and SEC regulated Broker-Dealer/RIA space with the requisite licenses. The ideal candidate will have the following qualities and skills:

- Thorough knowledge of alternative investments, variable annuity and variable life products
- Committed to creating a professional environment that places a high value on, accountability, and teamwork
- Excellent interpersonal communication skills, both written and verbal
- Strong organizational skills with ability to prioritize activities
- Maintain a strong client focus and the desire to build relationships during each interaction
- Strong technical skills in the MS Office software suite (Word, Excel, PowerPoint, Outlook, etc.)
- Capable of handling multiple tasks and responsibilities
- Ability to work independently and take initiative while being part of a team
- Ability to travel (20-25%)
- Proven work ethic with a high level of integrity to build trust with our clients and colleagues
- Can get excited about joining an experienced team and contributing to the direction and growth of the company
- Experience with Pershing, LLC a plus

### **Educational/Licensing Requirements**

- College degree preferred
- Series 7, 24, 63. Series 65/66, 53 or 51 obtained within six months of hire.
- Life insurance license a plus

**Location:** Austin, TX, or remote

### **Benefits:**

In exchange for your hard work and dedication, we offer:

- Competitive compensation package
- Medical, dental, vision and life insurance
- Voluntary disability
- Paid time off
- 401K with company match

We work to maintain the best possible environment for our employees, where people can learn and grow with the company. We strive to provide a collaborative, creative environment where each person feels encouraged to contribute to our processes, decisions, planning and culture.

### **Company Description**

Lion Street, Inc. is a privately held financial services distribution company based in Austin, Texas. Lion Street provides elite independent financial advisors, many of which have roots in the life insurance industry, access to the financial products, intellectual capital, and specialized resources they need to meet the sophisticated financial planning needs of their high-net-worth and corporate clients. The Broker-Dealer, Lion Street Financial, LLC and RIA, Lion Street Advisors, LLC are based in Austin, Texas. Founded in 2010, Lion Street is managed by a team of experienced industry veterans. It was purchased by Integrity Marketing Group in January of 2022.

*NOTE: The information on this description has been designed to indicate the general nature and level of work performed by employees within this classification. It is not designed to contain or be interpreted as a comprehensive inventory of all duties, responsibilities and qualifications required of employees assigned to this job.*