

**CETERA FINANCIAL GROUP
JOB PROFILE**

JOB TITLE:	Quality Control Supervisor		
Job Family:	Operations	Job Code:	
Department:	Advisory Billing & Reporting	Reports To:	Head of Billing & Reporting/Advisory Services
FLSA Status:		Location:	El Segundo, CA
Date Completed:	August 17, 2010		

PRINCIPLE RESPONSIBILITIES	Review and signoff on all aspects of Performance Reporting for Advisory client base including; Portfolio performance calculation; Client billing and advisor payment; Client rebates; Security cost basis; Reconciliation of client portfolios; and Asset classification of new securities. Coordinate with Accounting and Broker Dealers on audit requests. Maintains department Policies and Procedures. Other duties as assigned.
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KNOWLEDGE, SKILLS AND ABILITIES	<ul style="list-style-type: none"> ▪ Minimum of 5 years experience in the financial services industry. ▪ Must pay close attention to detail, and possess excellent communication and customer service skills, and the ability to multi-task. ▪ Have Series 7, 24 and 65 or 66 licenses, working knowledge of Portfolio Management Software such as Advent Axys or APX. ▪ Compliance experienced preferred. ▪ Working knowledge of Microsoft Office applications including Excel, Word, Access, and Outlook is a must.
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ADDITIONAL INFORMATION	<ul style="list-style-type: none"> ▪ Does the incumbent in this position have direct accountability for staff supervision/management? No ▪ Does the incumbent in this position have budget accountability? No ▪ Is travel expected to perform this job? A minimum of 0% - 10% domestically per calendar year, if necessary.
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