MEA Financial Services is deeply committed to diversity and inclusion in its hiring practices. We are an affirmative action, equal opportunity employer. People of color, women, and members of other historically marginalized social identity groups are encouraged to apply.

DATE OF POSTING: March 15, 2022
TERMINATION DATE FOR APPLICATION: March 22, 2022
POSITION: INVESTMENT MANAGER, CHIEF OPERATIONS OFFICER
COMPENSATION/BENEFITS: Grade M10
STAFF RELATIONSHIP: Responsible to Bruce Reaume
EMPLOYMENT DATE: As soon as possible
SEND APPLICATION AND RESUME TO: Human Resources Department
Michigan Education Association
1350 Kendale Blvd., P.O. Box 2573
East Lansing, MI 48826-2573

POSITION SUMMARY:
Oversee day to day operations of the broker/dealer with assets under management; supervise two staff members who assist clients and field reps with service related questions; implement and comply with broker/dealer rules of FINRA; SEC, and State of Michigan; having extensive knowledge of all investment products along with IRS, SEC, FINRA, SEC rules; review and approve sales transactions and supporting documentation to determine compliance with suitability of client investment choice; produce payroll information to pay field representatives and various reports to be disseminated to other managers. Prioritize and assign work, monitor performance and conduct evaluations, ensure staff are trained and follow procedures, make hiring, termination and disciplinary recommendations.

While performing the duties of this job, the employee is regularly required to work in a stationary position, move about the office spaces, operate computers and other office equipment, and communicate effectively with internal and external parties. The employee will occasionally move materials up to 20 pounds.

PRINCIPLE DUTIES AND RESPONSIBILITIES:
Oversee daily operations of the investment firm.
**PRINCIPLE DUTIES AND RESPONSIBILITIES (continued):**

Review sales transactions for compliance and suitability with applicable rules and regulations.

Produce payroll information for field reps and reports for other managers related to payroll.

Maintain and review critical trade blotter activity for accuracy, completeness, and compliance with applicable regulations.

Supervise employees to include prioritizing and assigning work, conducting performance evaluations, ensuring staff are trained, ensuring employees follow policies and procedures, maintaining a healthy and safe working environment.

Responsible for making recommendations regarding hiring, performance evaluations, disciplinary actions and termination of agents. Ensure staff is properly trained and procedures are followed in accordance with DIFS and the firm. Monitor and approve time off requests, lead department meetings and provide agency goals and initiatives to the team.

Compile and analyze financial/sales information in support of financial accounting, insurance, budgets, contracts, and other related business transactions.

Establish and maintain effective relationships with outside providers.

Ensure broker/dealer compliance with all rules of FINRA, SEC, as well as State of Michigan Regulations.

Acting as Chief Compliance Officer for Fairway Investment Group, LLC (Registered Investment Advisor). Creating and implanting supervisory procedures designed to comply with State of Michigan Rules.

Training new representatives to learn our procedures and processes, and how to comply with federal and state regulations.

Track production metrics and progress for all representatives, compile the data and disseminate to other managers.

Promote and support organizational efforts to maintain a diverse, equitable, and inclusive environment where employees of all backgrounds can grow and thrive.
MINIMUM QUALIFICATIONS:

Bachelor’s Degree from an accredited college or university in a related field with two to four years of related experience and/or training; or equivalent combination of education and experience.

Minimum of three years of investment related experience.

FINRA Series SIE, 7 Top-off, 66, 24, 51 licenses.

State of Michigan Producer License with Life and Variable Annuities Qualifications.

State of Michigan 4-credit Annuity Training Course.

Knowledge, Skills and Abilities:

- Proficient in PC and Microsoft Office Suite applications.
- Must have strong research and analytical skills.
- Effective interpersonal skills, high level of emotional intelligence.
- Ability to recognize when something does not seem right or is out of the ordinary and understand the application of laws and regulations in the client’s best interest.
- Ability to work in an unstructured environment.
- Excellent reading and writing skills.
- Organization and time management skills.
- Ability to prioritize and assign work.
- Perform calculations and audits.
- Ability to read, analyze, and interpret the most complex documents. Ability to respond effectively to the most sensitive inquiries or complaints. Ability to write speeches and articles using original or innovative techniques or style. Ability to make effective and persuasive speeches and presentations on controversial or complex topics to top management, public groups, and/or boards of directors.
- Ability to apply principles of logical thinking to a wide range of intellectual and practical problems. Ability to deal with nonverbal symbolism (formulas, equations, graphs, charts, etc.) in its most difficult phases. Ability to deal with a variety of abstract and concrete variables.

March 15, 2022