



# HANTZ FINANCIAL SERVICES<sup>®</sup>

## COMPLIANCE SPECIALIST

Hantz Group is a Michigan-based financial company that works with individuals and businesses to help them achieve their financial goals. We are a Family Office that offers a multitude of services tailored to each individual client. We deliver a team of professionals that are experts in their specific disciplines, yet work in collaboration to coordinate superior outcomes for our clients. By taking our holistic approach, we strive to reduce stress and save time for our clients so that they can focus on what's most important for their families.

### AREAS OF FOCUS:

- Asset Management
- Insurance
- Cash Flow Analysis
- Estate Planning
- Financial Planning and Retirement
- Tax Strategy and Planning
- Debt Strategies
- Property and Casualty Insurance

Hantz Financial Services is looking for a Compliance Specialist to support its various financial planning offices. This role is responsible for monitoring and providing business support on a variety of complex regulatory and legal procedures. By doing so, the Compliance Specialist helps ensure that each branch reaches full compliance with the firm's standards and procedures.

This is an entry level position and offers a great opportunity for growth and development. Through the Compliance Specialist position, individuals will become licensed with required FINRA Securities licenses and gain the skill set needed to hold an integral role within the department or to leverage their skills into a new opportunity within the many career paths at Hantz Financial Services.

### ESSENTIAL JOB FUNCTIONS:

- Utilize investigative skills and knowledge of the securities industry to research, analyze, and resolve a variety of issues
- Ensure that the results and relevant documentation are sent to the appropriate parties along with timely, accurate, and complete written response including references to applicable rules and regulations
- Conduct periodic branch audits that will cover the annual branch audit requirements as specified in the firm's standards and procedures
- Detects, researches, and communicates suggested areas of improvements to SVPs, site leaders, registered representatives, and office administrators of an assigned region
- Track and report on customer complaint data including testing that all applicable required information regarding the investigation and compliant resolution are maintained
- Assist with the investigation and analysis of issues in relation to written supervisory and operational procedures, advertising and sales literature, and other relevant data
- Assist with regulatory inquiries and drafting responses to regulatory authorities
- Reviewing and documenting firm processes and draft written policies and procedures regarding supervisory control functions
- All other task assigned

### EDUCATION/KNOWLEDGE & SKILLS:

- Bachelor's Degree or Equivalent Experience
- Strong organizational and time management skills to prioritize workload, meeting deadlines while managing multiple tasks;
- Strong oral and written communication skills, ability to communicate complex compliances rules and regulations in an effective and clear manner
- Attention to detail; enjoy working in a fast-paced environment with a high degree of independence
- Ability to obtain required licenses\* within one year of employment; SIE, Series 7, Series 66, Series 24, and Michigan Life, Accident & Health, Property & Casualty and Variable Contracts Insurance Licenses
- High proficiency in Microsoft Word, Excel, and PowerPoint

The Company does not discriminate in employment opportunities or practices on the basis of race, color, religion, sex, national origin, age, height, weight, disability, marital status, or any other characteristic protected by law.