

ROLE DESCRIPTION



Compliance Analyst

TEAM

Operations + Compliance

REPORTS TO

Chief Operations & Controls Officer

SUMMARY

We are looking for a detail-driven compliance professional who takes ownership of the controls that protect our clients and our firm.

In this role you will test and strengthen the policies that govern how we trade, bill, communicate, and safeguard information, translating regulatory requirements into practical processes our team can follow every day. You will work alongside the Compliance Team and partner closely with advisors and operations staff, giving them clear guidance so they can serve clients with confidence. Success in this role looks like a firm that stays consistently examination-ready and a team that understands why each control matters.

WHAT YOU'LL DO

- ◆ Perform ongoing testing of internal control policies — such as AI usage, trading, fee billing, account cancellations, books & records, marketing materials, custody, and cybersecurity.
- ◆ Assist in firm oversight, such as monitoring of email and off-channel communications and personal securities transactions.
- ◆ Monitor ongoing third-party vendor relationships.
- ◆ Supervise firm representative licensing and continuing education requirements to ensure compliance.
- ◆ Assist with firm compliance training and attestation processes.
- ◆ Collaborate with the Compliance Team to assess the effectiveness of the firm's compliance policies and procedures to meet SEC regulatory requirements and best industry standards.



WHO WE WANT ON OUR TEAM

- ◆ Effective communicator, both written and oral.
- ◆ Attentive to the smallest details; willing to identify errors and take steps to rectify issues.
- ◆ Demonstrated organizational skills; self-motivated; able to prioritize and meet deadlines.
- ◆ Proficiency in Microsoft programs and Adobe Acrobat.
- ◆ Welcoming persona that is respectful of a diverse spectrum of clients and colleagues.
- ◆ Desire to create and innovate processes.

POSITION DETAILS + BENEFITS

START DATE	As soon as available (can be flexible)
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HOURS	Full-time, salaried
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SALARY	\$58,000 – \$64,000 Annually, based on experience
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BENEFITS	◆ LVZ Bonus Incentive Program ◆ \$500 Professional apparel stipend ◆ 100% Paid health insurance premiums for employee & dependents ◆ Employee elected dental & vision at group rate ◆ Paid time off (13 days) ◆ 401(k) employer match (12-month waiting period for match) ◆ Custom-tailored financial plan from partner-level Certified Financial Planner (\$5,000 value) ◆ Reduced management fee for actively managed investments
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OUR FIVE NON-NEGOTIABLES

LVZ operates on five non-negotiables that define the culture of our team.
You are the right culture fit if you...

- 1 Foster a welcoming and respectful environment for team members and clients.
- 2 Create extraordinary client experiences that exceed expectations.
- 3 Operate on a foundation of integrity and clear communication.
- 4 Pioneer new ideas and processes as a result of perpetual learning.
- 5 Give generously of time, talents, and treasure to serve our communities.

ABOUT LVZ

Since our founding in 1960, LVZ has remained grounded in a singular purpose: delivering peace of mind for whatever comes next. What began as a small firm offering mutual funds has evolved alongside the lives and financial complexities of the people we serve.

Today, LVZ provides comprehensive financial planning and investment management, overseeing more than \$1 billion in assets and serving clients through a nationwide network of advisor partners. While the depth of our capabilities and reach has grown, our commitment remains unchanged: thoughtful guidance, deeply personal relationships, and a coordinated approach to helping clients navigate the intersection of their lives and finances.

Learn more about us at www.lvzinc.com.

SUBMIT YOUR APPLICATION

Please submit your resume and a cover letter telling us why this role and our team are the right fit for you. Applications are reviewed as they arrive, and we will follow up with next steps.

lvzinc.com/join-our-team



Securities offered through **Harbour Investments, Inc.** Investment Advisory Services offered through LVZ, Inc. LVZ, Inc. is a federally registered investment adviser. LVZ Financial Planning and LVZ Investment Management are DBAs of LVZ, Inc.