



JOB TITLE: Compliance Agent

REPORTS TO: Compliance Director

CLASSIFICATION: Non-Exempt

PAY GRADE: 7 (\$16.25/Hour)

POST DATE: **01/05/2021**

CLOSING DATE: **01/19/2021**

SUMMARY/OBJECTIVE: This position will help coordinate, complete and manage a variety of administrative and departmental specific tasks and projects in support of both the Compliance Director and Compliance Officers.

REQUIREMENTS OF THE JOB INCLUDE: Specific duties include, but are not limited, to the following:

- Assist Compliance Officer(s) in monitoring, testing and reviewing quality assurance reports to ensure operational compliance with applicable regulating agencies: TILA, GLBA, FDCPA, EFTA, UDAAP, ECOA, etc;
- Assist in oversight of compliance for the Consulting Arm of LDFH including: Compliance Checklist(s) and Marketing and Advertising.
- Contribute to the review of marketing materials for accuracy, regulatory adherence, and conformity for LDFH Tribal Lending Entities (TLE's.)
- Utilize and maintain the LDF Compliance Management System (CMS)
- Update and maintain data reporting within all TLE Loan Management Systems (LMS's)
- Assist the Complaints Handling Specialist with locating, collecting, and recording of escalated customer complaints.
- Record and monitor all correspondence between business units, vendors, service providers and customers in the Complaints Management Database
- Navigate regulatory websites, TLE LMS's, Complaint's Management Database when assisting in the investigation of complaints.
- Utilize all data tracking reports and spreadsheets as required by management.
- Navigate and utilize Asana for task management and communication between the department on project deadlines.
- Maintain professional and technical knowledge by attending educational workshops and establishing personal contacts and networks, etc.

OTHER DUTIES: Please note this job description is not designed to cover or contain a comprehensive listing of activities, duties or responsibilities that are required of the employee for this job. Duties, responsibilities, and activities may change at any time with or without notice.

REQUIRED SKILLS:

- Excellent written communication skills
- Ability to communicate policy and procedure requirements and changes to multiple departments and vendors
- Conflict resolution, problem solving skills and negotiation
- Ability to multi-task and prioritize daily tasks
- Demonstrate a spirit of helpfulness by working as a cooperative member of a team
- Maintain a professional attitude and appearance

SUPERVISORY RESPONSIBILITY: This position has no direct supervisory responsibilities.

WORK ENVIRONMENT: This job operates in a professional office environment. This role routinely uses standard office equipment such as computers, phones, photocopiers, and filing cabinets.



PHYSICAL DEMANDS: The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job:

While performing the duties of this job, the employee is regularly required to verbally communicate. This is a largely sedentary role which requires the ability to sit at a desk a large part of the day, bending and standing.

POSITION TYPE/EXPECTED HOURS OF WORK: This is a full-time position. Days and hours of work are primarily Monday through Friday, 8:00AM to 4:30PM. Occasional evening and weekend work may be required as job duties demand.

TRAVEL: Occasional travel is expected for this position.

REQUIRED EDUCATION AND EXPERIENCE:

- 2 years of previous experience in a compliance and/or quality assurance role
- 1 year of experience in data entry
- High School Diploma, G.E.D or equivalent

PREFERRED EDUCATION AND EXPERIENCE:

- Associate degree or Secondary Education in Business Administration or a related field

CORPORATION STANDARDS: The foundation of success is found in meeting the following LDF Holdings, LLC expectations:

- Attitude of safety first
- Work ethic of loyalty, integrity, pride, perseverance, accountability, respect and teamwork
- Ambition to succeed
- Adheres to company policies and procedures
- Represents the company in a positive and professional manner
- Flexibility to work for extended hours in order to meet deadlines
- Handles oneself with professionalism during stressful situations
- Maintains positive attitude and morale
- Interacts effectively with all members of the company and all outside associates
- Completes responsibilities diligently
- Thinks big picture and takes into account long-term implications of ones' actions
- Works independently, exercises discretion, applies common sense and makes competent decisions
- Complies with designated work schedule
- Uses company resources wisely
- Maintains neat, clean and organized workspace
- Constantly analyzes for ways to improve individual and/or company performance

LDF Holdings, LLC. is committed to a drug-free workplace. To qualify for this position, the individual must submit to and pass a pre-employment drug screen with random testing thereafter.

Print: _____ Signature: _____ Date: _____

EEO STATEMENT: LDF Holdings, LLC. provides equal employment opportunities (EEO) to all employees and applicants for employment without regard to race, color, religion, gender, sexual orientation, gender identity, national origin, age, disability, genetic information, marital status, amnesty or status as a covered veteran in accordance with applicable federal, state and local laws. To the greatest extent feasible, preference will be given to qualified American Indians for employment opportunities.



HOW TO APPLY: To apply for this position please submit an application, resume and salary requirements to:

LDF BUSINESS DEVELOPMENT CORP.

Attn: Human Resources

PO Box 155

Lac du Flambeau, WI 54538

FAX: 866.423.6104

HR@LDFBDC.com