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**LAC VIEUX DESERT BAND OF LAKE SUPERIOR CHIPPEWA INDIANS**

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**HUMAN RESOURCES**  
P.O. Box 129, N5384 US 45 Watersmeet, MI 49969  
Phone: 906-358-4226 Fax: 906-358-4913

**JOB DESCRIPTION**

**POSTED: MARCH 1, 2018      DEADLINE: MARCH 15, 2018**

**POSITION:**                      **Regulatory Agent**

**DEPARTMENT:**                **Tribal Administration**

**LOCATION:**                      **LVD Reservation**

**SUPERVISOR:**                 **Tribal Council**

**EMPLOYMENT:**               **Full Time – Appointed Position**

**SALARY/PAY RATE:**         **\$17.39-\$22.61 per/hr.**

**DESCRIPTION:**

The Tribal Council established the Tribal Financial Services Regulatory Authority as a governmental subdivision of the Tribe. The Authority, through its Regulatory Agent(s) is responsible for the overall implementation and enforcement of the Tribal Consumer Financial Services Regulatory Code (the “Code”) and regulations of the Tribe relating to consumer financial services activities, associated licensing requirements, licensees.

**RESPONSIBILITIES:**

- Promulgating, adopting, and enforcing regulations and rules furthering the purpose and provisions of the Code; provided that such regulations shall take effect only upon approval of the Tribal Council.
- Examining or inspection or causing to be examined or inspected each Licensee annually and more frequently if the Authority considers it necessary.
- Making or causing to be made reasonable investigations of any Licensee or Person as it deems necessary to ensure compliance with the Code or any order of the Authority, to determine whether any Licensee or Person has engaged, is engaging or is about to engage in any act, practice or transactions that constitutes an unsafe or unsound practice or violation of the Code or any order of the Authority; or to aid in adopting rules or regulations pursuant to the Code.

- Establishing procedures designed to permit detection of any irregularities, fraud, or the like.
- Upon prior explicit resolution and approval of the Tribal Council, employing such advisors as it may deem necessary. Advisors may include, but are limited to, lawyers, accountants, law enforcement specialists and financial services professionals.
- Accepting, reviewing, approving or disapproving any Application for a License, including conduction or arranging for background investigations of all Applicants.
- Examining under oath, either orally or in writing, in hearings or otherwise, any Licensee or Person, or agent, officer or employee of any Licensee or Person, or any other witness with respect to any matters related to the Code and to compel by subpoena the attendance of witnesses and the production of any books, records, and paper with respect thereto. Upon refusal to appear or produce, the Authority may apply to a court of competent jurisdiction to compel appearance or production.
- Making, or causing to be made, an examination or investigation of the place of business, equipment, facilities, tangible personal property and the books, records, papers, vouchers, accounts, documents and financial statement of any Licensee or Person engaging or participating in, or suspected to be engaging or participating in, consumer financial services.
- Disciplining any Licensee or Person engaging or participating in consumer financial services in violation of this Code by ordering immediate compliance, issuing fines and sanctions, and suspending or revoking any License pursuant to the hearings and due process required by Section 4.17 of the Code.
- Presiding over, compromising, negotiating or settling any dispute to which it is a party relating to the Authority's authorized activities, subject to any approval of the Tribal Council that may be required by the Tribal Council.
- Adopting a schedule of fees to be charged for the processing, issuance and renewal of Licenses, including fees or charges associated with conducting background checks; for reasonable examinations of Licensees; and for services rendered relating to transcripts and the furnishing or certifying of copies of proceedings, files, and records and to impose the forgoing fees as applicable.
- Establishing and maintaining such bank accounts as may be necessary or convenient.
- Making such finding as may be necessary to implement the Authority's duties and powers, with such findings to be given deference as the legally binding findings of a governmental entity

### **MINIMUM QUALIFICATIONS:**

- Be an enrolled member of the Lac Vieux Desert Band of Lake Superior Chippewa Indians.
- Be at least twenty-one (21) years of age.
- Have expertise, experience, education or a combination thereof in the following area: (1) Financial services, (2) Finance, (3) Management, (5) Business, (6) Governmental regulation, (7) Law and/or Tribal policy.
- Not have a prior criminal record, reputation, habits, or association that: (1) pose a threat to the public interest; (2) threaten the effective regulation and control of

- financial services; or (3) enhance the dangers of unsuitable, unfair, or illegal practices, methods, or activities in the conduct of financial services.
- Never have been convicted of or entered a plea of no contest to any felony or to a misdemeanor involving breach of trust or dishonesty in any jurisdiction.
  - Not personally, nor may any member of his or her Immediate Family, have an ownership, partnership or other direct monetary or financial interest in the conduct of any Licensee or be in privity with a Financial Services Licensee, Vendor Licensee or one of its agents, contractors, or sub-contractors; or if he or she has any other personal or legal relationship that places him/ her in a conflict of interest.
  - A full background check and drug testing will be required.
  - Must have High School diploma or general education degree (GED).

**PREFERRED QUALIFICATIONS:**

- Have expertise, experience, education or a combination thereof in the following areas: (1) Financial services, (2) Finance, (3) Management, (4) Business, (5) Governmental regulation, (6) Law and/or Tribal policy.
- Not have a prior criminal record, reputation, habits, or associations that: (1) pose a threat to the public interest; (2) threaten the effective regulation and control of financial services; or (3) enhance the dangers of unsuitable, unfair, or illegal practices, methods, or activities in the conduct of financial services.
- Never have been convicted of or entered a plea of no contest to any felony or to a misdemeanor involving breach of trust or dishonesty in any jurisdiction.
- Not personally, nor may any member of his or her Immediate Family, have an ownership, partnership or other direct monetary or financial interest in the conduct of any Licensee or be in privity with a Financial Services Licensee, Vendor Licensee or one of its agents, contractors, or sub-contractors; or if he or she has any other personal or legal relationship that places him/her in a conflict of interest.

*The above statements are intended to describe the general nature and level of work performed by people assigned to this classification. They are not intended to be construed, as an exhaustive list of all responsibilities, duties and skills required of personnel so classified. Management retains the right to add or to change the duties of the position at any time. Must be able to pass a pre-employment drug screen and applicable background checks related to the position.*

**Date Approved by the Tribal Council: March 1, 2018**