

**Jeff L Hughes**  
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I am an honest, trustworthy, credible, ethical professional with over 20 years of experience in the Financial Services Industry. I learn new concepts quickly and am able to adapt to change. I have a proven ability to work independently and efficiently in an environment of constantly changing priorities. I have leadership experience and can work within a team environment. I am detailed oriented with an analytic and administrative mindset. I effectively utilize multiple computer/web based applications/systems simultaneously. I have a reputation for getting things done. I am able to handle complex matters successfully. I accept personal responsibility, welcome constructive coaching and continually strive for improvement. I have excellent writing ability with experience in Microsoft Word, Excel, Outlook and PowerPoint.

**• REGISTRATIONS •**

Active FINRA Securities Registrations: Series 6, 26 & 63

**• EDUCATION •**

B.S. Business Administration, Berry College, Rome, GA

**• EXPERIENCE •**

**The Strategic Financial Alliance, Atlanta, GA**

Senior Compliance Officer & OSJ Principal

November 2013 to Present

In collaboration with the Chief Compliance Officer and the Chief Supervisory Officer, responsible for all areas of compliance for the Broker Dealer including, but not limited to formulating, documenting, communicating and implementing strategies that support corporate priorities, promote business initiatives and help ensure compliance with all applicable state, federal and SRO rules and regulations. Day-to-day responsibilities include, among other things, supervision of OSJ Principals in the following areas:

- Suitability review and approval of securities transactions, personal securities transactions and outside business activities;
- Review OSJ Sales Blotters, Order Ticket Reports, Quarterly Transaction Statements, Consolidated Reports and all incoming and outgoing correspondence;
- Surveillance of Email, social media and website content;
- Conduct Branch Office examinations;
- Review and approve all advertising for the firm;
- Assist in developing on-going training and education for registered persons, their office staff and Home Office Staff;
- Project manager/support team during FINRA/SEC Exams; and

- Attend FINRA, SEC, FSI, NASAA, etc. meetings, seminars, webinars and review FINRA Notice to Members documents to stay up to date regarding regulatory rules.

Systems Used: Advisor Mail, Advisor Sites, Advisor Websites, App River/Global Relay, Docupace, NetX360, SMARSH, Web CRD, WinOps.

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678-908-1244

**Transamerica Financial Advisors, Duluth, GA**

Manager, Sales Practices/Special Investigations

November 2007 to November 2013

Reported directly to the Chief Compliance Officer, responsible for leading the Broker Dealer's Sales Practices team with primary responsibility of ensuring compliance related to regulatory compliance and internal Written Supervisory Procedures. Specific department responsibilities included, among other things:

- Responded to, reported, investigated and resolved customer complaints;
- Conducted internal investigations into possible sales practice violations identified by the firm and its associated persons and provided summary of findings to the Supervisory Department;
- Responded to regulatory inquiries and actions;
- Provided advisory compliance support and training to OSJ Managers;
- Administered the Annual Compliance Checklist and Annual Compliance Meetings;
- Acted as liaison for Firm and Branch Office exams by regulatory authorities; and
- Written Supervisory Procedures updates.

**Primerica, a Citigroup Member Company, Duluth, GA**

February 1992 to May 2005

Began 13 year career as a Customer Service Representative and quickly advanced into the Compliance department and ultimately to Director of unit within the Office of the General Counsel. Also spent time as an independent Representative. Career highlights include:

Director of Business Integrity Group - Office of the General Counsel

Managed department activities with an emphasis on assisting & counseling the Primerica sales force in the areas of conflict resolution related to organizational disputes, transfer requests, leadership issues as well as contractual & regulatory compliance.

Business Manager/OSJ Compliance Manager

Managed and supported the Senior National Sales Director's business providing leadership and support to his organization with an emphasis on promoting recruiting sales, training and

compliance of one of the largest sales organizations within the Primerica distribution system with earnings of over 2.4 million dollars.

Regional Sales Leader/Personal Financial Analyst,

Under the mentorship of one of the founders of the Primerica sales force, built from the ground up, my own independent financial sales organization as a Regional Leader within Primerica.

**Activities:**

Volunteer with Fellowship of Christian Athletes and led mission trips to the Dominican Republic, travel baseball/softball coach. I have also served as a Gwinnett County School System Mentor.