



# COMMISSIONER OF FINANCIAL REGULATION - 43004009

(37902)View Details

Job Postings (1)

Status : Open Hiring Manager : SHERRI BRALEY  
Age : 0d

Talent Pipeline Hide Talent Pipeline

[View active candidates \(16\)](#) [View all candidates \(17\)](#)

Forwarded 0	Invited To Apply 0	New 16	Review 0	1st interview 0	2nd Interview 0	Offer 0	Ready to Hire 0
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Candidates :View all candidates (17)

Action 0 Selected

[Filter Options](#)

- Name
- Acey Stinson
- Arthur Garcia
- Christopher Jenkins
- Daniel Thommen
- David Kister
- DEBORAH DEAN
- Donald Hudgins
- Eric Sorensen
- George Schwyzer
- Jay Fant

**George Stephen Hugo Schwyzer** (External Candidate)  
 ☐ 347-939-9564 ✉ [gschwzyer@earthlink.net](mailto:gschwzyer@earthlink.net) 📄 Cover Letter 📄 Resume

Application

Status: New

Country: United States

Attachments to be Included in all Job Submissions: [Submission Attachments](#) 3 attached

Attachments Added After Submission: [Attach a document](#)

Vacancy Source: People First

Relatives: To your knowledge, do you have any relatives working in this agency? No

Right To First Interview: Not Applicable  
 If you responded yes to the above statement, attach a copy of your official layoff letter applying for this vacancy.

Veteran Status: c. Wartime veteran who has served on active duty

ARE YOU CURRENTLY EMPLOYED WITH THE AGENCY TO WHICH YOU ARE CURRENTLY APPLYING? No

HAVE YOU RECEIVED A PROMOTIONAL APPOINTMENT WITHIN THE CAREER SERVICE, SUBSEQUENT TO ACTIVE MILITARY SERVICE, WITH THE AGENCY TO WHICH YOU ARE APPLYING? No

People First Initial VP Review: No Selection

People First Eligible VP Category (if different): No Selection

Agency Final VP Eligibility Review: No Selection

Agency Final VP Category Determination: No Selection

## Background Information

A "yes" answer to these questions will not automatically bar you from employment relatedness, severity, and date of the offense in relation to the position you are applying for. [see 112.011, F.S.]

Have you ever been convicted of a felony or a first degree misdemeanor ? No

If yes, what were the charges ?

Where ? (City/State)

Date

Have you ever pled nolo contendere or guilty to a crime which is a felony or a first degree misdemeanor ? No

If yes, what were the charges ?

Where ? (City/State)

Date

Have you ever had the adjudication of guilt withheld for a crime which is a felony or first degree misdemeanor ? No

If yes, what were the charges ?

Where ? (City/State)

Date

Signature

I am aware that any omissions, falsifications, misstatements, or misrepresentation: disqualify me for employment and, if I am hired, may be grounds for termination at understand that any information I give may be investigated as allowed by law. I co release of information about my ability, employment history, and fitness for employ employers, schools, law enforcement agencies, and other individuals and organiz: investigators, human resources staff, and other authorized employees of Florida si for employment purposes. The consent shall continue to be effective during my en hired. I understand that applications submitted for state employment are public rec the best of my knowledge and belief all of the statements contained herein and on are true, correct, complete, and made in good faith.

If applicable, Complete Qualifying Questions prior to submitting your applic:

By checking this box, I certify that I have read and agree with these statements Yes

Interview Result overdue interviews

Screening Details

In the State of Florida application you indicated that you are legally authorized to work in the United States, Are you one of the following: Citizen or National of the United States; Lawful Permanent Resident; Refugee; Asylee, or Temporary Resident (does not include non-immigrant visas such as F-1, J-1, H-1, etc.)? Yes

Will you now or in the future require sponsorship for No

employment visa status (e.g. H-1B visa status)?

Do you have at least five (5) years of responsible private sector experience working fulltime in areas within the subject matter jurisdiction of the Office of Financial Regulation within the previous ten (10) years?

Yes

If you answered "yes" to the previous question, please elaborate on your experience. If no, please respond N/A.

1). National Compliance Consultants: 1/2017 to present: Chief Executive Officer  
2). Project Solutions Group International, Ltd.: 1/2008 to 8/2013: Senior Compliance Director

(Between these two positions, from 8/2013 to 12/2016, I was employed in the public sector as a Senior Financial Examiner for the government).

Do you have at least five (5) years of experience as a senior examiner or other senior employee of a state or federal agency having regulatory responsibility over financial institutions, finance companies, or securities companies within the previous ten (10) years?

No

If you answered "yes" to the previous question, please elaborate on your experience. If no, please respond N/A.

However, as stated above, I was employed as a senior government regulator and Examiner-in-Charge for over three years and four months, from 8/2013 to 12/2016.

▼ Periods of Employment

National Compliance Consultants

Chief Executive Officer

▼ Details

Name of Employer\* National Compliance Consultants  
Your Job Title\* Chief Executive Officer  
Currently Employed\* Yes  
Start Date\* 01/02/2017  
End Date\* MM/DD/YYYY  
Hours Per Week\* Flexible  
Employer's Address 10486 Lucaya Drive, Tampa, FL 33647  
Supervisor's Name Ana Wisch  
Supervisor's Phone Number 808-753-3377  
Duties and Responsibilities\* Compliance Consultancy  
Reason For Leaving\* Present position  
Your name, if different during employment

Department of Financial Services, New York State

Bank Examiner/Examiner-in-Charge

▼ Details

Name of Employer\* Department of Financial Services, New York State  
Your Job Title\* Bank Examiner/Examiner-in-Charge  
Currently Employed\* No

**Start Date\*** 08/22/2013  
**End Date\*** 12/30/2016  
**Hours Per Week\*** Flexible  
**Employer's Address** 1 State Street, New York, NY 10004  
**Supervisor's Name** Davis Harris  
**Supervisor's Phone Number** 212-709-5557  
**Duties and Responsibilities\*** Examining financial Institutions and supervising teams of examiners during bank  
**Reason For Leaving\*** To get married to my fiancée who lives in Tampa, Florida  
**Your name, if different during employment**

Formal Education

University of Cincinnati  
Cincinnati, Ohio

Details

**Name of School\*** University of Cincinnati  
**Location\*** Cincinnati, Ohio  
**Start Date\*** 09/06/1971  
**End Date** 08/27/1974  
**Course of Study** German Studies  
**Degree Earned (transcripts may be required)\*** Doctorate  
**Credit Hours – Quarter** 15  
**Credit Hours – Semester**

Language Skills

French  
Intermediate

Details

**Language\*** French  
**Speaking Proficiency** Intermediate  
**Reading Proficiency** Intermediate  
**Writing Proficiency** Intermediate

German  
Fluent

Details

**Language\*** German  
**Speaking Proficiency** Fluent  
**Reading Proficiency** Fluent  
**Writing Proficiency** Fluent

English  
Fluent

Details

**Language\*** English  
**Speaking Proficiency** Fluent  
**Reading Proficiency** Fluent  
**Writing Proficiency** Fluent

▼ **License, Registration or Certification**

There are no items in this section.

▼ **Job-Related Training or Course Work**

There are no items in this section.

▼ **Knowledge, Skills and Abilities**

**Please refer to my resume**

▼ Details

**Knowledge, Skills and Abilities**      Please refer to my resume

▼ Details

**Knowledge, Skills and Abilities**

Items per page: 10 ▼

Page 1 of 2

**GEORGE S.H. SCHWYZER**

10486 Lucaya Drive, Tampa, Florida 33647 □ 347.939.9564 □ gschwyz@earthlink.net

**To:** The Florida Office of Financial Regulation

**Re:** Positions in Financial Examination and Regulation

**Date:** June 17th, 2018

I have a uniquely well-rounded profile in legal and regulatory compliance. I have been a senior compliance executive at JP Morgan Chase, the largest U.S. bank in terms of assets, for Deutsche Bank, the largest European bank in asset size, and for Bankers Trust, a well-respected U.S. merchant bank. This rich experience in the private sector has been complemented by the seasoning which I acquired and the expertise which I developed as a senior bank examiner for the government. My tenure as a regulator has given me insights into how examiners prepare for, conduct, and conclude examinations, what they scrutinize, and what they are sensitive to when they examine a financial institution.

I have augmented this professional polarity by successfully establishing and marketing my own compliance consultancy firm. The exposure as a consultant has revealed to me a broad awareness and experience within my profession, as it has given me the opportunity to work for a variety of financial institutions. It has also provided to me the experience of presenting the services offered by my firm to the membership of associations which represent the various resources of the financial services industry. This multifaceted experience has enhanced and elevated my expertise.

I have therefore participated in financial examinations in all three roles: as a regulator, as a compliance executive, and as a compliance consultant. This threefold experience has given me a unique perspective in the arena of financial regulation. Consequently, I believe that my wealth of expertise, experience and training would be a distinct advantage to the Florida Office of Financial Regulation. I am of the humble opinion that such a well-rounded, balanced, and seasoned background is not easy to find.

I am very eager to once again immerse myself in a capacity where I can contribute to the public sector as a financial regulator. It would again be extremely satisfying for me to be in a position where I could help to ensure that the American public is not taken advantage of by financial institutions which perpetrate the execution of illicit, or even questionable

**GEORGE S.H. SCHWYZER**

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transactions. These result in financial loss and inconvenience for the bank's customers, and heavy fines and remunerations for the institution, in addition to a blemish on its own reputation and on the profession as a whole.

Unfortunately, transgressions of law and regulations in the financial services industry are quickly becoming of epidemic proportions. However, while today's climate in the regulatory arena may seem daunting to some, I will always fulfill my responsibilities with conscientiousness, diligence, and enthusiasm.

Should any questions arise regarding the information on my resume or in this cover letter, please do not hesitate to contact me.

Sincerely,

**George S.H. Schwyzer**

## GEORGE S.H. SCHWYZER

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~ SENIOR COMPLIANCE EXECUTIVE ~

### QUALIFICATIONS PROFILE

I am a dynamic, results-driven, seasoned professional, offering a unique background in financial compliance. I have worked as a compliance executive at major financial institutions, as a Government Regulator, and finally as a compliance consultant. Thus the expertise which I have developed is broad, deep, and well-rounded. Additionally, I possess well-honed business acumen, and well-defined analytical, problem-solving, communication, and technical aptitudes.

### AREAS OF EXPERTISE

Federal and State Laws and Regulations  
 Legal and Regulatory Compliance  
 Internal Controls and Audit Infrastructure  
 IT Security  
 Financial Condition and Liquidity  
 Management Competency Analysis  
 Organizational Leadership and Team Building  
 Continuous Process Improvements

### PROFESSIONAL EXPERIENCE

National Compliance Consultants, Inc. | Tampa, FL

Chief Executive Officer

2016–Present

The Firm offers comprehensive compliance consulting services to financial institutions and also to the memberships of associations which represent the various lines of business within the financial services industry. These services prepare the Firm's clients for State and Federal Examinations by emulating the regulators' analyses and evaluations during their examinations of all aspects of the client's business operations. The Firm ensures that all policies and procedures are generated, that they are comprehensive according to regulatory requirements, that they are reviewed and approved by senior management, and that all of the contents therein are fully implemented. Additionally, National Compliance Consultants trains all of its clients' staff accordingly, ensuring that they understand the policies fully, and apply the procedures correctly. The Firm personally interfaces with the regulators during every stage of their examination. Should the examiners cite violations of law after the examination is concluded, then the Firm intercedes on its client's behalf, challenging the citations themselves, the assessment of fines, and any remunerations to the institution's customers required by the regulators. The relevant components of a examination are: legal and regulatory compliance, internal and quality controls and audit infrastructure, the safeguards incorporated in the computer systems, the strength, profitability, and future performance potential of the financial architecture of the business, and the performance of senior management to supervise these four preceding elements of the operations of the enterprise.

The Government of the State of New York, Department of Financial Services | New York, NY

Regulator

2013–2016

Prepared, conducted, reviewed, and finalized examinations of financial institutions by assessing the legal, operational, and financial soundness of the business. Five components were analyzed and evaluated: legal and regulatory compliance, internal and quality controls and audit infrastructure, the safeguards incorporated in the entity's computer systems, the strength, profitability, and future performance potential of the company's financial architecture, and the performance of senior management to supervise these four preceding elements. These examinations required the regulator's interface with senior management, its chief compliance officer, and the department heads. Additionally, senior management and sales and operations staff were interviewed by the examiner in order to ascertain their levels of knowledge, understanding, and training



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in the policies and procedures of the institution. Through this interview process, the regulator also determined whether or not the staff actually implemented the essence of these manuals, and if so, to what extent.

The examiner's subsequent responsibilities included his on-site verbal presentation of a summary of his findings to the institution's senior management, the official, written formulation of his determinations for each component, the conception of his Executive Summary, a verbal review of his examination by the government's senior executives, and an official comprehensive telephonic discussion of his findings and any violations with the institution's senior management and the Government's senior executives. Finally, the regulator assigned a rating to the examination which informed the institution on a quantitative basis, of the soundness of its legal, operational, and financial functionality.

The examiner conducted most of his examinations with a team, some as the team leader ("Examiner-In-Charge"), and others as the sole examiner.

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### Project Solutions Group International Ltd. | New York, NY

Senior Compliance Director

2008-2013

Spearheaded the firm's daily compliance and audit functions, ensured that the Investment Advisory Line of Business complied with Federal and State Laws and Regulations, responded to the regulators' First Day Letters, prepared for the regulators' visits, and interfaced with the regulators during their examination.

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### Freeman Lewis L.L.P. | New York, NY

Senior Compliance Manager

2001-2008

Assumed full accountability for establishing and maintaining the firm's adherence to all laws and regulations germane to its business, crafted an effective internal control, quality control, and audit infrastructure, and generated an IT security policy.

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### Deutsche AG | New York, NY

Senior Compliance Executive

1999-2000

Supervised the compliance and audit functions of the Private, ensured that all Federal and State Legislation and Regulations were complied with, responded to the regulators' First Day Letters, prepared for the regulators' visits, and interfaced with the examiners during their examinations. Raised both the Federal and State Examination ratings from "Marginal" to "Satisfactory".

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## EARLIER CAREER

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### Bankers Trust Company | New York, NY

Compliance Executive

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### Chase Manhattan | New York, NY

Compliance Officer

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## PROFESSIONAL TRAINING AND DEVELOPMENT

*Compliance Analysis and Management | Federal and State Laws and Regulations  
Internal Controls and Audit Infrastructure | Financial Condition and Liquidity | IT Security  
Management Competency Analysis  
Organizational Leadership and Team Building | Continuous Process Improvements*

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## EDUCATION

Doctor of Philosophy | University of Cincinnati, Cincinnati, OH, USA

Master of Arts | University of Cincinnati, Cincinnati, OH, USA

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*Bachelor of Arts | University of Vienna, Vienna, Austria*

**MILITARY SERVICE**

United States Marine Corps

**Rank:** Marine Private First Class: 2<sup>nd</sup> Battalion, 4<sup>th</sup> Marines

**Commendations:** Silver Star, Purple Heart, Defense Distinguished Service Medal, Vietnam Campaign Medal, Vietnam Service Medal

Royal Officers' Training Corps | Colston's School, Bristol, United Kingdom

**Rank:** Cadet

**Awards:** Marksmanship in Machine Gun, Rifle, and Pistol.

**Distinction:** Battlefield Tactical Initiative.

**Merit Insignia:** Hand-to-Hand Combat

**AWARDS**

JP Morgan Chase | New York, NY

**Outstanding Performance Award in Wealth Management**

University of Cincinnati | Cincinnati, Ohio

**University Graduate Scholarship, Teaching Assistantship, and Research Assistantship to the Head of Faculty**

Colston's School | Bristol, United Kingdom

**Foundation Scholarship**

Epsom College | Epsom, United Kingdom

**Foundation Scholarship**

Southmoor Preparatory School | Southmoor, United Kingdom

**Foundation Scholarship**

**VOLUNTEER EMPLOYMENT**

U.S. Small Business Administration | New York, NY

**Service Core of Retired Professionals; Senior Counselor to Business Owners**

**LANGUAGES**

**English, German, French**

**CITIZENSHIP**

**United States**

**United Kingdom**