

Casey Griffin

Casey Griffin is the Chief Compliance Officer for H.D. Vest Investment ServicesSM and H.D. Vest Advisory ServicesSM. He is responsible for both firms' overall compliance with the applicable securities regulations as determined by the Securities and Exchange Commission (SEC), Financial Industry Regulatory Authority, Inc. (FINRA), state securities commissions and various other regulatory bodies.

Since joining H.D. Vest in August of 1998, Casey has held various supervisory positions within H.D. Vest Investment Services and H.D. Vest Advisory Services, including overseeing Sales Supervision and as the Senior Compliance Manager responsible for surveillance.

Casey holds a Bachelor of Business Administration from the University of North Texas and holds FINRA securities licenses Series 7, 63, 65, 24, 4 and 53.

Investment and Insurance Products:
▶ NOT FDIC Insured ▶ NO Bank Guarantee ▶ MAY Lose Value