



**Securities Division
Licensing Specialist / Examiner**

This position requires professional analytical work in evaluating and registering broker-dealers and investment advisers to ensure compliance with applicable securities laws and regulations as well as examination and investigative work involving various analytical and investigative methods to identify and document compliance with securities statutes and regulations.

Register Broker-Dealers and agents and Investment Advisers and representatives.

- Serve as Central Registration Depository Administrator for Division
- Review record, disclosure, and financial submissions from broker-dealers and investment advisers
- Conduct preliminary background checks
- Research firms and agents
- Organize and analyze collected information and prepare exam summary report, including any deficiencies
- Resolve deficiencies or refer case to legal for enforcement if needed
- Assist legal staff with preparing for enforcement actions,

Conduct statewide routine examinations of registered investment advisers and broker dealer firms to assess compliance with securities laws.

- Conduct background research on examinees from a variety of sources prior to the on-site exams
- Conduct on-site and desk exams, including interviews with firm employees, agents, supervisors, and principals; obtaining and reviewing various records; and observation of business and sales practices
- Organize and analyze collected information and prepare exam summary report, including any deficiencies
- Resolve deficiencies with firm or refer case to legal for enforcement if needed
- Assist legal staff with preparing for enforcement actions, including hearings and testifying in hearing, if needed

Conduct investigations of possible violations of the securities laws

- Answer inquiries from the public regarding complaints
- Collaborate with other agencies (state and federal) and jurisdictions to conduct both in-state and out of state investigations
- Collect records and other evidence related to the case from multiple and varied sources, including background checks on subjects of investigation, securities account statements, bank statements on subjects of investigation, and surveillance as necessary

- Interview individuals, including victims, witnesses to alleged misconduct, and securities firm supervisors, principals, employees, and former employees
- Organize and conduct analysis of securities and other financial records obtained during investigations to determine which securities laws or rules may have been violated
- Present case summary to legal staff, assist with preparing for enforcement actions, including hearings and testifying in hearing, if needed

Requirements:

- Must be able to meet deadlines, produce high quality work product, and work with a team
- Must use clear and analytical reasoning to make effective presentations
- Must have working knowledge of computer software, hardware, and other tools used by the division.
- Ability to set priorities to manage multiple concurrent tasks and workload.
- Must be able to perform work with a minimum amount of supervision in areas that are familiar.
- Job requires instate travel and some out of state travel, including weekends to training conferences.
- Minimum required education: Bachelor's Degree

*Securities industry experience preferred.

*Experience in compliance is a plus.