



Securities Division Investigator

This is professional securities compliance and investigative work involving various analytical and investigative methods to identify and document compliance with securities statutes and regulations as well as investigate securities fraud in order to develop cases to successfully prosecute the same. Incumbent works in cooperation with federal, state, county, and municipal law enforcement agencies and prosecutors. The work is subject to the review of an administrative superior.

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
- Subpoena outside records from businesses such as banks and credit card companies
- Review cases involving purchase/sale/transfer of crypto currencies
- Organize and conduct analysis of securities and other financial records obtained during investigations to determine which securities laws or rules may have been violated
- Interact with federal and state security agencies to share information and provide assistance
- 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 in state travel and some out of state travel, including weekends to training conferences.

*Securities industry experience preferred.

*Experience in compliance is a plus.