



**Michael Watson**  
SECRETARY OF STATE

**Secretary of State's Office**  
**Registrations Specialist**  
*Securities Division*

This position requires professional analytical work in evaluating and registering securities offerings to ensure compliance with applicable securities laws and regulations.

- Process all securities offerings notice filings and registrations for the Securities Division.
  - Review initial filings, renewal filings, termination filings, and amendments to filings
  - Correspond with filers
  - Reconcile filings and imports
  - Resolve deficiencies in filings and registrations
  - Refer deficient filings to enforcement
- Generate and mail notices for all types of securities offering filings
- Import Electronic Filings into database
  - Resolve deficiencies
  - Reconcile import
  - Correspond with filers
- Maintain records, both paper and electronic, for all notice filings and registrations.
- Respond to telephone and email inquiries regarding registrations and notice filings.
- Act as main contact for Division for national association committee
- Coordinate with other Divisions to maintain the Securities Division's website
- Additional duties and special projects as assigned by the Legal Director of the Securities Division
- Must maintain confidentiality on any matters in the Secretary of State's Office.

**Requirements:**

- Ability to set priorities to manage multiple concurrent tasks and workload.
- Ability to meet deadlines, produce high quality work product, and work with a team
- Ability to perform work with a minimum amount of supervision in areas that are familiar.
- Must use clear and analytical reasoning to make effective presentations
- Working knowledge of computer hardware and software such as Microsoft Office 365
  
- Job requires some travel to training conferences.
- \*Securities industry experience preferred.
- \*Experience in compliance is a plus.