

Job Description

Job Title	Securities Licensing Specialist		
Job ID	17437		
Date Opened	05/26/2022		
Date Closed	06/24/2022		
Location	1050 1st Street, NE		
Full/Part Time	Full-Time	Type of Appointment	Career Service - Reg Appt
Regular/Temporary	Regular		
Agency	SR	Insurance, Securities and Bank	
Area of Consideration	Open to Public		
Grade	12		
Bargaining Unit	1_2	Compensation Unit 1 & 2	
Minimum Range	\$85,209.000000	Maximum Range	\$109,023.000000
Target Openings	1	Available Openings	1

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General Job Information

JOB SUMMARY

This position is located in the Department of Insurance Securities, and Banking, Securities Bureau, Licensing Division.

DUTIE AND RESPONSIBILITIES

The incumbent examines applications for the licensing of broker-dealers, investment advisors, broker agents, investment advisor representatives and agents of issuers in order to determine whether (a) full and accurate disclosure has been made by the applicant and (b) whether grounds for denial of licensing exist. The incumbent determines the sufficiency of disclosure made in the application, checks all disclosure made by individual or individuals (sole proprietor, partners, officers and directors, or others, depending on type of organization) against information available and acquired. Makes initial determination as to whether or not reasons exist for instituting proceeds for denial of licensing within the Act administered by the Bureau. The incumbent maintains a record of the data obtained from other government agencies relative to the examination of broker-dealer and agent investment advisors, investment advisor's representatives and agent of issuer's applications.

QUALIFICATIONS AND EDUCATION

Applicants must have one (1) year of Specialized Experience that has equipped the applicant with the particular knowledge, skills, and abilities to perform successfully the duties of the position, and that is typically in or related to the work of the position to be filled. To be creditable, one (1) year of specialized experience must have been equivalent to at least the next lower grade level in the normal line of progression.

Bachelor's Degree is preferred.

Licenses and Certification

None

Working Conditions/ Environment

Work is primarily performed in an office setting.

Other Significant Facts

Tour of Duty: Monday - Friday 8:15am - 4:45pm

Pay Plan, Series, Grade: CS-301-12

Promotion Potential: No Known Promotion Potential

Collective Bargaining Unit: This position is covered under a collective bargaining unit.

Position Destination:

This position has been deemed Security Sensitive under the guideline of the DC Personnel Manual. Incumbents of this position are subject to enhanced suitability screening pursuant to Chapter 4 of DC personnel regulations. Accordingly, incumbents must successfully pass a criminal background and consumer credit check as a condition of employment and will be subject to periodic criminal background checks for the duration of their tenure.

Vaccination Requirement:

The Government of the District of Columbia values the safety of our employees, our residents, and our visitors. In support of these values, if you are selected for this job, you must be fully vaccinated against COVID-19, except when vaccination is not medically advised or violates your sincerely held religious beliefs. If you are invited to join our team, you must submit proof that you are fully vaccinated against COVID-19 to your initial HR representative, or you must request an exemption from your representative. New employees must either provide proof of vaccination or be granted a medical or religious exemption before working with the Government of the District of Columbia.

EEO Statement: The District of Columbia Government is an Equal Opportunity Employer. All qualified candidates will receive consideration without regard to race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, family responsibilities, matriculation, physical handicap, or political affiliation.