

Job Description

Job Title	Securities Registration Specialist		
Job ID	17515		
Date Opened	06/03/2022		
Date Closed	07/02/2022		
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	11		
Bargaining Unit	1_2	Compensation Unit 1 & 2	
Minimum Range	\$68,870.000000	Maximum Range	\$88,787.000000
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, Corporate Finance Division.

DUTIES AND RESPONSIBILITIES

Acts as Registration Specialist in the Corporate Finance Division with the responsibility to ensure compliance with the registration and notice filing provisions of the District of Columbia securities laws and to process and maintain securities registration and notice filings records in the Division's Securities Tracking and Registration System. Examines applications for the registration - and notice filing of securities offerings in order to determine whether-(a) full and accurate disclosure of eligibility information has been made by the applicant and (b) whether grounds for denial of registration or notice filing of securities offering exist.

Determines the sufficiency of disclosure made in the applications, checks all disclosures made by individual or individuals (partners, officers and directors, or other depending on the type of organization) against information available and acquired. Makes initial determination as to whether or not grounds exist for instituting proceeding for denial of registration or notice filing of securities offering within authority of the acts administered by the Bureau. Maintains a record of the data obtained from other governmental agencies relative to the examination of agent of issuer's information provided in registration applications and notice filings.

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.

Licenses and Certification

None

Physical Demands

The work is sedentary in nature requiring no unusual physical demands.

Working Conditions/ Environment

Work is primarily performed in an office setting.

Other Significant Facts

Bachelor's Degree is preferred.

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

Pay Plan, Series, Grade: CS-301-11

Promotion Potential: Promotion Potential to CS-12

Duration of Appointment: Career Services - Regular Appointment

Collective Bargaining Unit: This position is in a collective bargaining unit (AFSCME/2743), and you may be required to pay an agency service fee through direct payroll deduction.

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.