

## Job Description

<b>Job Title</b>	Attorney Advisor Securities		
<b>Job ID</b>	13608		
<b>Date Opened</b>	07/08/2021		
<b>Date Closed</b>	08/01/2021		
<b>Location</b>	1050 1st Street, NE		
<b>Full/Part Time</b>	Full-Time	<b>Type of Appointment</b>	Legal Service - Reg Appt
<b>Regular/Temporary</b>	Regular		
<b>Agency</b>	SR	Insurance, Securities and Bank	
<b>Area of Consideration</b>	Open to Public		
<b>Grade</b>	14		
<b>Bargaining Unit</b>	C33	Compensation Unit 33 - Lawyers	
<b>Minimum Range</b>	\$118,319.000000	<b>Maximum Range</b>	\$153,833.000000
<b>Target Openings</b>	1	<b>Available Openings</b>	1

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### General Job Information

#### Job Summary

This position is located in the Government of the District of Columbia (District), Department of Insurance, Securities and Banking (DISB), Office of the General Counsel (OGC). The purpose of this position is to provide proficient legal advice in one or more practice areas within the DISB. The practice areas include securities and banking law, consumer protection, and administrative procedure.

#### Duties and Responsibilities

Represents DISB in securities and banking cases involving violations of the District laws before the DISB Hearing Officer and the D.C. Office of Administrative Hearings. Provides legal advice relating to the interpretation and applicability of all securities laws, rules and regulations administered by the DISB regarding complex legal cases. Analyzes and provides legal and interpretive guidance on impact/implications of changes to the Securities Act of 1933, Securities Exchange Act of 1934, Investment Company Act of 1940, and Investment Advisers Act of 1940 as it relates to the regulation of broker-dealers, investment advisers, and securities issuers in the District. Also, will be responsible for providing legal and interpretive advice related to District-chartered banks, non-depository companies, and other financial institutions in the District. Conducts legal document research dealing with proposed and existing laws and amendments. Prepares and reviews management responses to selected sensitive and confidential inquires and correspondence. Keeps abreast of judicial and DISB interpretations of laws and regulations, particularly changes related to the function of DISB programs; and provide recommendation of appropriate courses of action. Monitors Congressional and District Council actions, and drafts proposed legislation and formulates appropriate responses. Represents DISB in administrative hearings involving violations of the District's securities and laws; and prepares evidence, briefs, motions and other documents to support cases, as necessary. Assists with litigation support and manages concerns between District officials, administrative bodies, and external parties regarding actions taken during administrative matters. Works on the administrative adjudicative process, including the gathering of information and documentation to support evidence in connection with administrative enforcement actions. Assists in reviewing and revising directives and correspondence, including standard operating procedures, inspection reports, reporting requirements, and other legal documents related to enforcement actions. Provides advice regarding compliance with applicable personnel regulations, agreements and actions.

#### **QUALIFICATIONS AND EDUCATION:**

Incumbent must have a law degree (LLB or JD) from an American Bar Association (ABA) accredited law school and have at least two (2) years post J.D. experience, one of which was specialized experience at or equivalent to the LA-13 grade level, or it's non-District equivalent.

#### **Grade 14**

The incumbent must have a law degree from an American Bar Association accredited law school. Must have at least two (2) years of experience practicing law in an area closely related to the activity of the assigned

agency; and must have at least one (1) year of related specialized experience at or equivalent to the LA-13 grade level in the District of Columbia government service.

### **Grade 15**

The incumbent must have a law degree from an American Bar Association accredited law school. Must have at least one (2) year of experience practicing law in an area closely related to the activity of the assigned agency; and have at least one (1) year of related specialized experience at or equivalent to the LA-14 grade level in the District of Columbia government service.

### **LICENSE AND CERTIFICATION:**

Must be a current member in good standing of the District of Columbia Bar or be eligible for waiver into the District of Columbia Bar within 360 days of appointment. An appointee to the Legal Service position shall remain a member in good standing of the District of Columbia Bar during their employment in the Legal Service.

### **WORKING CONDITIONS/ENVIRONMENT**

Work is primarily performed in an office setting. Generally, work is sedentary. Some walking, handling and carrying of light to moderately heavy objects (such as case records, brief cases, and exhibits) is required. No special physical demands are required to perform the work.

### **Other Significant Factors**

The position will have an emphasis on Securities matters but will also be asked to handle Banking and Non-Depository matters.

**This position will be filled either at the grade 14 or 15 level.**

**Salary range for grade 15:** Minimum range - \$139,189 Maximum- \$177,661

**Pay Plan, Series and Grade:** LA - 905 -14/15

**Collective Bargaining:** This position is NOT covered under a collective bargaining unit and you may be required to pay an agency service fee through direct payroll deduction.

**Duration of Appointment:** Legal - Regular Appointment

**Position Designation:** The incumbent is subject to enhanced screening pursuant to the DPM Chapter 4, Suitability- Security Sensitive.

**EEO: 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.**