

Job Description

Job Title Manager, Consumer Services

Job ID 3518

Date Opened 05/03/2018

Date Closed 06/01/2018

Location 1050 1st Street, NE

Full/Part Time Full-Time

Type of Appointment MSS - Reg Appt

Regular/Temporary Regular

Agency SR

Insurance, Securities and Bank

Area of Consideration Open to Public

Grade 14

Bargaining Unit CH11

Non Union - Chapter 11

Minimum Range \$99,659.000000

Maximum Range \$139,522.000000

Target Openings 1

Available Openings 1

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General Job Information

JOB SUMMARY

This position is in the Department of Insurance, Securities and Banking, Office of the Deputy Commissioner for Market Compliance, Office of the Director of Compliance Analysis. The position's primary purpose is to manage the intake and resolution of consumer complaints and inquiries. The incumbent monitors marketplace activities of financial services entities doing business in the District, including but not limited to: insurers, insurance agents and brokers, investment advisers, investment adviser representatives, broker-dealers, broker-dealer agents, banks, money transmitters, mortgage lenders, brokers and servicers, student loan servicers and check cashers.

BRIEF DESCRIPTION OF DUTIES AND RESPONSIBILITIES

The incumbent serves as Manager of Consumer Services Branch. In this capacity, he/she is responsible for planning, implementing and coordinating activities related to provisions for consumer advocacy services in the administration of insurance, securities and banking laws and regulations by supervising the DISB consumer complaint process and resolving complaints.

The incumbent supervises the work of a staff engaged in the following activities:

Receiving and responding to public inquiries. Handling complaints and disputes regarding payment of insurance claims, allegations of violations of insurance, securities and banking laws. Conducting research to develop answers to specific questions and problems; resolving problems through individual counseling or refer consumers to appropriate agency for further assistance; and providing counseling to consumers on financial products and service needs.

Receiving and investigating complaints regarding insurance companies and producers, investment advisers and broker-dealers, District-chartered banks and non-depository financial institutions doing business in the District of Columbia. Conducting investigations by acquiring documentation, records and other evidence from the complainant and other involved parties.

Tracking, reviewing and analyzing factual data to determine complaint trends and emerging issues, examining policy cancellations or non-renewals, advising individuals of their appeal rights. Acting as liaison between complainant and respondent investment adviser or broker-dealer, bank or non-depository financial institution or insurance company or producer to resolve misunderstandings regarding products and services. Performing various activities related to investigations such as updating of files and the complaint tracking database, compiling reports and reviewing staff correspondence.

The incumbent assigns and reviews the work of the subordinate staff, rates employee performance in accordance with established standards; gives or provides for training and develops quantitative and qualitative measures for evaluating the performance of subordinate employees. Directly handles complicated or sensitive matters, and performs other related duties as assigned.

OTHER SIGNIFICANT FACTORS

Mastery of financial market transactions and company operations across the insurance, securities and banking industries. Familiarity with products and services typically provided by insurance, securities and banking firms.

Ability to identify current and emerging trends in financial operations, which could create market transaction problems, and define regulatory remedies to reduce or eliminate market dislocations. Ability to develop and conduct market segment studies aimed at determining key drivers for new financial products and services.

Mastery of and skill in applying the investigative and enforcement techniques. Mastery of and skill in problem solving negotiation strategies; project management to conduct in-depth research and analysis; mastery of management skill and experience in planning; organizing, directing team study work; and negotiating effectively with management to accept and implement recommendations.

Demonstrated skills and experience in providing leadership in a managerial capacity and in providing leadership in a team-based environment; the ability to set appropriate work standards and to hold staff accountable for their performance.

Superior oral and written communication skills to develop and present oral and written reports on complex technical problems and issues related to DISB; and to negotiate, build partnerships, and provide authoritative advice on rules, regulations, and/or other related issues. Ability to build consensus among key stakeholders on change initiatives.

EDUCATION & EXPERIENCE

Degree in business or law or allied field, and at least five (5) years of experience in the financial services industry, or state or federal regulatory agency, preferably in a supervisory position that demonstrates that the applicant possesses the knowledge, skills, and abilities required to perform work in the position.

CONDITIONS OF EMPLOYMENT

Positions in the Management Supervisory Service (MSS) serve at the pleasure of the appointing authority and may be terminated at any time with or without cause.