

Job Description

Job Title	Market Compliance Examinations Manager		
Job ID	12542		
Date Opened	03/12/2021		
Date Closed	03/26/2021		
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	\$107,843.000000	Maximum Range	\$150,979.000000
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 (DISB), Compliance Analysis Division (CAD). The primary purpose of this position is to manage the development and administration of DISB's market compliance examinations of insurers, securities firms, banks and money services businesses, and other financial services firms licensed and operating in the District of Columbia (District). The incumbent is responsible for ensuring that the work of the division is accomplished, such as conducting research and analysis of industry sectors to establish best practices, standards, and guidelines for the design, delivery and results of financial products and services; and analyzing information from other bureaus to identify and define key market factors that drive change in each industry sector. (Factor Market is a microeconomics term used in referring to a market where goods and services, raw materials or physical capital are sold. Firms buy productive resources in return for making factor payments at factor prices. The inputs you require to produce end products or services are sold in the factor market.)

Duties and Responsibilities

Manages the activities of the division related to the scheduling, planning, and examination of insurers, securities firms, money services businesses and other financial services firms conducting business in the District. Responsible for identifying trends, key market conditions, and operational risks; and develops strategies to review such conditions and risks to determine impact on the businesses and consumers in the District. Recommends appropriate corrective actions; and serves as a resource about issues involving compliance with District financial laws and regulations. Oversees pre-exam planning; completion of risk reviews' examination testing; documentation of findings; resolution of differences with firms and individuals being examined; and the preparation of exam reports. Identifies changes in market conditions, determines regulatory actions to be taken; reviews the status of guideline implementation; and identifies additional areas of concern for consumer protection. Researches and analyzes factors that might lead to market dislocation, emphasis is placed on developing proactive capabilities to monitor market activities leading to improvements in existing or new financial products and services.

Qualifications and Education

This position requires Specialized Experience that 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, specialized experience must have been equivalent to at least the next lower grade level in the normal line of progression.

Licensure and Certifications

None

Other Significant Facts

Promotion Potential: No known promotion potential

Duration of Appointment: Managerial Supervisory Service (MSS) - AT-Will

MSS At-Will Statement: 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.

Tour of Duty: 8:15 a.m. to 5:00 p.m.

Pay Plan, Series and Grade: MS-0301-14

Collective Bargaining Unit: Non-union

Position Designation: The position has been deemed security sensitive. Accordingly, the incumbent will be subject to preemployment checks (criminal background checks, consumer credit check, traffic record checks, if applicable) as a condition of employment, and will be subject to periodic criminal background checks for the duration of your tenure.

" If the position you are applying for is in the Career, Management Supervisory, or Educational Services at an annual salary of one hundred fifty thousand dollars(\$150,000) or more, you must establish residency in the District of Columbia within one hundred eighty(180) days of the effective date of the appointment and continue to maintain residency within the District of Columbia throughout the duration of the appointment."

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.