

## Job Description

**Job Title** Securities Licensing Spec.  
**Job ID** 6182  
**Date Opened** 02/04/2019  
**Date Closed** 03/05/2019  
**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** \$79,930.000000 **Maximum Range** \$102,268.000000  
**Target Openings** 1 **Available Openings** 1

[Return to Previous Page](#)

[Switch to Internal View](#)

### 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 advisors representatives and agent of issuer's applications.

The incumbent drafts correspondence to applicants concerning deficiencies in the applications, explaining the laws, procedures and requirements. Further, corresponds with various private associations and government agencies the Bureau or division is in contact with as it relates to securities issues.

#### QUALIFICATIONS AND EDUCATION

Bachelor's Degree and at least four (4) years of relevant work experience; equivalent combination of education, training and /or experience.

Knowledge of securities licensing Laws, regulations, policies and objective of the Securities Bureau to effectively examine applications for licensing of broker-dealers, investment advisors, broker agents, investment advisor representatives and agents of issuers.

Knowledge and skill in applying analytical and evaluative methods and techniques to various issues incident to the licensing of applicants engaging in the securities industry.

Ability to effectively communicate with others orally and in writing to interpret and explain technical licensing information and/or present factual data for decision-making. Considerable inter-personal skills are required to elicit factual data to support recommendation adverse or positive.

**LICENSE AND CERTIFICATION**

NONE

**WORKING CONDITIONS/ENVIRONMENT**

The work is sedentary. Typically, the employee may sit comfortably to do the work. However, there may be some walking, standing, bending, traveling to securities companies, carrying of light items such as papers, books and driving an automobile etc. No special physical demands are required to perform the work.

The work is performed in an office setting.

**PROMOTION POTENTIAL**

No known promotion potential

**OTHER SIGNIFICANT FACTS**

This position is cover under a collective bargaining agreement.