

Job Description

Job Title Securities Financial Examiner (Rpt & Discl)

Job ID 6960

Date Opened 04/15/2019

Date Closed 05/14/2019

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 13

Bargaining Unit 1_2

Compensation Unit 1 & 2

Minimum Range \$92,093.000000

Maximum Range \$118,670.000000

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, Corporation Finance Division. The Division has responsibility for the analysis and review of securities offering materials filed under the requirements of the Securities Act of 2000.

DUTIES AND RESPONSIBILITIES

The incumbent in this position is required to identify eligibility and disclosure issues in securities registration applications, exemptions and notice filings; to decide whether responses satisfy the identified deficiencies; and to determine whether the application or notice may be cleared after compliance with all applicable laws and regulations. More specifically: Reviews and analyzes initial and renewal securities registration applications, exemptions, notice filings, disclosure documents, financial statements, exhibits, documents and advertising materials for compliance with the procedural, documentation and disclosure-requirements of the DC Securities Act of 2000 and the rules promulgated under the Act. Prepares and sends correspondence communicating to the applicants the issues in the application and notices; tracks status of files; and ultimately communicates the final status of the application or notice. Evaluates responses from applicants to the deficiency comments, and resolves, through additional correspondence and telephone discussions, all outstanding comments prior to clearing the application or notices or recommends that application be denied. Also, participates in multi-state coordinated review of securities filings under the appropriate North American Securities Administrators Association review protocols. Enters data in the Division's database regarding status of securities registration application and notices. Responds to inquiries from the public, prospective investors, registration applicants, and attorneys about the requirements and application of the Securities Act of 2000 and the rules promulgated under the Act; and responds to inquiries about the status in the District of Columbia of securities offerings. Reviews all general daily correspondence addressed to the securities registration unit; responds to the correspondence or redirects it appropriately. Opens and researches docket matters regarding DC Freedom of Information Act requests relative to securities offerings.

Performs other related duties as assigned.

QUALIFICATIONS AND EDUCATION

Applicants must have at least one (1) year of specialized experience equivalent to the CS-12 grade level or equivalent experience in the private or public sector. Specialized experience is experience which is in or directly related to the line of work DC Government Career Opportunities of the position and has equipped the applicant with particular knowledge, skills, and abilities to successfully perform the duties of the position. The incumbent must have an expert knowledge of the Securities Act of 2000 and other laws, regulations, policies and procedures governing the programs of the Securities Bureau to effectively carry out ongoing assignments. This knowledge is applied to the review and analysis of offering disclosure documents, legal documents, financial statements and other documents to ensure compliance. Highly developed skill is required to analyze these documents and to modify standard analysis steps and procedures to deal with non-routine problems. Skill in oral and written communication. Ability to use personal computer.

LICENSE AND CERTIFICATIONS

NONE

Working Conditions/Environment

The work is typically performed in an office setting, but the incumbent may from time to time be required to perform duties outside of the office. The incumbent may be required to carry and lift light items such as books and files weighing no more than 25 lbs.

Other Significant Facts

Promotion Potential: No known promotion potential

Duration of Appointment: Career Service - Regular Appointment

Pay Plan, Series and Grade: CS-1101-13

Collective Bargaining Unit (Non-Union): This position is in a collective bargaining unit.

Position Designation: The position has been deemed security-sensitive. Accordingly, the incumbent will be subject to pre-employment 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.

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.