

## CLASSIFICATION SPECIFICATION

<b>FLSA:</b>	<b>EXP</b>	<b>Job Code:</b>	<b>ACV35043</b>
<b>Job Class Code:</b>	<b>450</b>	<b>Salary Schedule:</b>	<b>AREG</b>
<b>EEO Category:</b>	<b>02</b>	<b>Grade:</b>	<b>22</b>
<b>Workers Comp Code:</b>	<b>8810</b>		

<b>Job Code Established:</b>	<b>12/27/84</b>	<b>Effective Date:</b>	<b>09/28/92</b>
<b>Job Code Revised:</b>		<b>Effective Date:</b>	

**JOB CODE SERIES:** Regulation of Securities

**JOB CODE TITLE:** SECURITIES SPECIALIST III

**HRIS TITLE:** SECURITIES SPCT III

**CHARACTERISTICS OF THE CLASS:** Works under general supervision of Securities Examining Supervisor. Has the authority to make decision on implementation of work procedures in accordance with established policies; decisions regarding who, where, what records should be subpoenaed for hearing or court trials; to issue cease and desist orders. Provides legal or accounting expertise to staff and management; examines and analyzes the most complex financial statements, prospectuses and applications for registration of securities transactions; investigates alleged securities violations; develops cases for prosecution; conducts field audits; serves as team leader on complex subjects. Responsible for timeliness and accuracy of work products; for assignment of tasks to project team; for testifying at hearings and judicial proceedings as an expert witness. Work product consists of approval or denial of securities registration recommended; violations of securities laws identified; evidence for use at hearing or judicial proceedings assembled; criminal reference reports prepared.

**EXAMPLES OF DUTIES:** Investigates and evaluates complex applications for registration of securities for sale in the state; inspects complicated prospectus and registration statement and makes inquiries about the financial and business history of the offering company. Examines and evaluates applications for state registration of securities broker-dealers and issuer-dealers and the agents to verify compliance with state laws and regulations. Conducts field investigations relating to reported violations or irregularities in business or occupational practice; interviews complainants and others, examines evidence, recommends actions. Analyzes financial statements of businesses in order to make determinations affecting regulation, taxation, or compliance with state laws. Confers with superior, presenting and resolving difficult problems or questions, discussing plans and actions to be taken, making decision. Confers with complainants or concerned persons and advises them regarding their complaints. Directs, instructs, explains, and counsels subordinate workers in carrying out a variety of tasks. Reviews work products or achievements of subordinate workers; evaluates work and formulates plans for improvement. Composes correspondence dealing with subject matter in ways that call for considerable discretion and involve some judgment or negotiation, replying to inquiries, presenting or requesting information. Attends professional seminars, meetings, conferences; gives and receives information helpful in work system operation. Confers with agency officials, staff members and representatives of other agencies to acquire information needed for immediate determinations or decisions. Confers with other practitioners and technical experts in own field of specialization, in order to broaden knowledge, acquire specific information or obtain advice or consultation. Represents a State agency in formal hearings to which that agency is a party. Performs related work as required.

**WORK CONDITIONS:** Some travel.

**KNOWLEDGE, SKILLS AND ABILITIES:**

**Knowledge of:** rules of evidence, litigation procedures and legal principles and practices appropriate to the assignment; principles and practices of auditing and accounting; investigative procedures, techniques

and reporting; Federal and State laws, rules and regulations as they pertain to securities registration and sale procedures; managerial practices and supervisory techniques; policies and procedures established for the work system.

**Skill/Ability to:** applying auditing and accounting methods and techniques; interpreting complex laws, rules and regulations; applying rules and logic in analysis of securities transactions; investigative methods and techniques and maintaining chain of evidence; work management and work leadership; oral and written communication; mathematical calculation; interpersonal relationships. One year of experience equivalent to a Securities Specialist II, appropriate to the assignment. Any combination of training and experience that meet the knowledge, skills, and abilities (KSAs) may be substituted.