



Office of the Kansas Securities Commissioner

A division of the Kansas Insurance Department

Ken Selzer, CPA, Commissioner of Insurance
John Wine, Interim Securities Commissioner

Announcement of Vacant Position Internal – External

Posting Date: November 13, 2017
Job Vacancy: Investigator
Req. No: 188244
Compensation Rate: \$52,000 entry level or commensurate with experience
Position Type: Regular unclassified, full-time, non-exempt, eligible for full benefits.
Closing Date: December 6, 2017
Contact: Kathy Ramskill 785-296-2124

Job Description:

The Office of the Kansas Securities Commissioner is recruiting for an Investigator position. The Investigator will conduct investigations of securities fraud and sale of unregistered securities covered by the Kansas Uniform Securities Act, and similar violations associated with the Kansas Loan Brokers Act. These investigations are both advanced and technical, and may involve regulatory requirements for broker dealers and/or investment advisers. This position necessitates the ability to comprehend basic accounting principles and practices, corporate law and finance, state securities laws, rules and regulations, securities industry standards and ethics codes, FINRA, SEC, MSRB, CFTC and NFA rules and regulations and the ability to properly apply such rules and regulations. An investigation may result in an administrative proceeding, and/or a criminal proceeding involving felony charges and potential incarceration in a state penitentiary.

Primary Duties:

The Investigator's duties will be dedicated to conducting interviews of victims, witnesses and suspects of alleged securities or loan broker violations and interacts with professionals representing these persons. Successful performance requires communication and interpersonal skills to interview, negotiate or gain cooperation of persons with diverse and conflicting interests.

The Investigator will:

- Obtain, organize, and maintain integrity of evidence. Development of evidence requires seasoned judgment and advanced analytical skill.
- Analyze a variety of financial and legal records and documents to evaluate operational and financial condition of entities and the propriety or deficiency of disclosures in prospectuses or other documents in relation to requirements of state and federal securities laws and regulations.
- Prepare written reports of interviews, investigative operations, financial worksheets, administrative orders, administrative subpoenas, affidavits for arrest warrants and search

warrants.

- For certified law enforcement officers: Execute arrest warrants, search warrants, serves process, conducts surveillance of suspected persons or operations and cooperates with other local, state and federal regulatory and law enforcement agencies.

Additional Duties:

- Serve as a resource for other staff members by providing guidance and instruction during investigations or compliance examinations. The Investigator may participate in Investor Education activities.
- Answers inquiries involving technical or complex issues from the public, representatives of regulated firms and other regulators, and performs research, if necessary, to address such inquiries.
- Performs duties as assigned by the Director of Compliance & Enforcement and Enforcement Coordinator to accomplish agency objectives.

Position Type: Regular, unclassified, full-time, non-exempt, eligible for full benefits.

Position Location: Topeka, Kansas.

Regular Hours of Work: 40 hour work week completed during 07:00 AM – 5:30 PM, Monday - Friday. Hours of work are negotiable.

Compensation: Starting at \$52,000 annually. Compensation is negotiable and dependent upon qualifications and experience.

Minimum Requirements:

- Bachelor's degree in criminal justice, law, accounting, finance, business administration or a closely related field as deemed equivalent by agency administrators; Investigations or Auditing experience may be substituted for a bachelor's degree if deemed equivalent by agency administrators;
- One year of experience working in the securities industry or in a regulatory environment; Professional experience or credentials may be considered to substitute for securities or regulatory experience if deemed equivalent by agency administrators;
- Valid driver's license;
- Ability to pass a KBI background check; and
- Ability to obtain and submit a Kansas Tax Clearance Certificate. Each applicant applying for a job with the State of Kansas must obtain a valid and up-to-date Kansas Certificate of Tax Clearance by accessing the Kansas Department of Revenue's website at <http://www.ksrevenue.org/taxclearance.html>. A Tax Clearance is a comprehensive tax account review to determine and ensure that an individual's account is compliant with all primary Kansas tax laws. A Tax Clearance expires every 90 days. All applicants, including current State employees, are responsible for submitting a valid and up-to-date certificate with all other application materials to the hiring agency. This is in accordance

with Executive Order 2004-03. If you need assistance with the Tax Clearance, please contact (785) 296-3199 or kdor_tax.clearance@ks.gov.

Other Requirements:

- Professional demeanor.
- Excellent organizational, scheduling, and prioritization skills.
- Ability to manage multiple assignments, meet deadlines, work independently, and implement instructions given by senior staff members.
- Maintain high level of confidentiality, ethics, and integrity.
- Superior writing and communication skills with the ability to communicate well with individuals from various backgrounds.
- Proficient in Microsoft Word, Excel, and PowerPoint.

Preferred Requirements:

- KS Certified Law Enforcement Officer, Attorney, Certified Public Accountant, Certified Fraud Examiner, Chartered Financial Analyst, Certified Financial Planner, or other securities industry certifications.
- Three years of experience in conducting investigations or auditing work.

Travel: In-state travel will be required and some limited out-of-state travel may be necessary. Applicant must therefore have a valid driver's license.

To Apply:

Step 1: Submit your personal information with the State of Kansas by completing the State of Kansas Personal Information Registration form found at <https://admin.ks.gov/services/state-employment-center/job/applicant-data> and clicking "Submit" at the bottom of the page.

Step 2: Complete the State of Kansas Employment Application found at <https://admin.ks.gov/services/state-employment-center/sec-home/state-employment/online-application> and click "Submit" at the bottom of the page.

Step 3: Submit the following documents to Kathy Ramskill, Senior Administrative Specialist, by the email address or mail address listed below:

- Resume;
- Cover letter;
- Kansas Tax Clearance Certificate;
- Photo copy of valid driver's license; and
- Veterans' Preference K.S.A. 73-201(c) Form and DD-214, if applicable.

Contact Information:

Materials for submission and questions regarding the application process may be directed to:

Kathy Ramskill
Senior Administrative Specialist
Office of the Kansas Securities Commissioner
109 SW 9th Street, Suite 600
Topeka, KS 66612
Kathy.ramskill@ks.gov
Phone: (785) 296-2124
Fax: (785) 296-6872

What to Expect Next:

Your application will be reviewed by members of the Office of the Kansas Securities Commissioner's staff. Staff members will evaluate your qualifications based on the materials that you submit. Therefore, the materials that you submit must be complete and fully discuss how you meet the minimum, other, and preferred qualifications, if applicable. After your application is evaluated, you may be contacted for further information or to schedule an interview. You will be notified of your application's outcome after the selection process is complete.

Veteran's Preference Eligible (VPE):

Former military personnel or their spouse that have been verified as a "veteran" according to K.S.A. 73-201, will receive an interview if they meet the minimum competency factors of the position. The veterans' preference laws do not guarantee the veteran a job. Positions are filled with the best qualified candidate as determined by the hiring manager. Additional VPE information can be found at <http://da.ks.gov/ps/aaa/recruitment/veterans.htm>.

DD Form 214, Certificate of Discharge or Separation from Active Duty, or other official documents (to include military discharge papers, or equivalent certification from the VA listing military status, dates of service, and discharge type) issued by the branch of service are required as verification of eligibility for veterans' preference.

Reasonable Accommodation Policy Statement:

The American With Disabilities Act of 1990 ensures you the right to reasonable accommodations. A request for an accommodation will not affect your opportunities for employment with the State of Kansas. Arrangements will be made if you have a disability that requires an accommodation for completing an application form, interviewing, or any other part of the employment process. It is your responsibility to make your needs known to the Office of the Kansas Securities Commissioner contact person.

The Office of the Kansas Securities Commissioner is an Equal Opportunity Employer.