



Kansas Insurance Department

Vicki Schmidt, Commissioner of Insurance

Office of the Securities Commissioner

Announcement of Vacant Position Internal – External

Req. No: 192860
Posting Date: April 8, 2019
Division: Securities
Job Vacancy: Chief Regulatory and Financial Analyst
Compensation Rate: \$75,000 - \$90,000 Negotiable based on experience
Position Type: Unclassified, Regular, Full-Time, Exempt, Benefits-Eligible
Closing Date: Open until filled
Contact Person: Kathy Ramskill 785-296-2124

Job Description:

This position, in collaboration with the division's other staff, plans, develops, recommends and implements financial analysis processes internal to the Division. Position performs assignments with little supervision and reports periodically to the Commissioner, usually by means of occasional conferences, to discuss work progress or new problems that require advice or direction from above.

Position participates in developing departmental policies and procedures pertaining to financial regulation.

Primary Duties (Not All Inclusive):

- Conducts advanced technical and complex examinations of securities registration and exemption filings to determine compliance with applicable sections of the Kansas Uniform Securities Act, related Regulations and NASAA Statements of Policy adopted under Regulations. In addition, the agency is responsible for the administration and enforcement of the Kansas Loan Brokers Act. The work requires advanced technical knowledge of the referenced laws and regulations as well as Generally Accepted Accounting Principles for analysis of registration statements, financial statements and reports of independent Certified Public Accountants.

Jeffrey S. Wagaman, Securities Commissioner
Kansas Securities Commission, a division of the Kansas Insurance Department

- Effectively communicates deficiencies identified in securities registration or exemption filings to legal counsel or business executives representing the registrant; then, negotiates resolution of those deficiencies to enable compliance with registration or exemption requirements under the Kansas Uniform Securities Act and related Regulations, NASAA Statements of Policy as well as the Kansas Loan Brokers Act.
- Provides consulting expert services to Legal, Compliance and Enforcement staff regarding financial statement analysis, Generally Accepted Accounting Principles and other financial or operational analysis of securities issuers and firms regulated by the KSC. This work also involves assistance to Legal staff in evaluation of the effectiveness and possible improvements of administrative regulations.
- Assists the Commissioner and staff in the management of accounting and budgeting systems, special projects and coordination with staff in the Kansas Insurance Department. These services require a working knowledge of SMART, SHARP and IBARS.

Education/Experience:

Graduation from an accredited four-year college or university with a major in accounting, business, or related field, with a minimum of 15 college credits in accounting, or a finance degree.

Knowledge, Skills and Abilities:

- Knowledge of accounting and auditing principles, practices and standards.
- Knowledge of generally accepted accounting principles (GAAP), practices and standards.
- Knowledge of statutory accounting principles, practices and standards.
- Knowledge of State and Federal statutes and rules and regulations related to the financial regulation of the securities industry.
- Knowledge of procedures, practices and records normally employed in financial operations.
- Knowledge of financial reports and statements.
- Knowledge of general office skills (i.e., typing, arithmetic, grammar, spelling and proofreading) required.
- Knowledge of business computer hardware and software, including, but not limited to: Word, Excel and Windows.
- A thorough knowledge of the Department's organization, functions, procedures and examination techniques.
- Ability to perform detailed work involving financial and numerical data; make mathematical computations with speed and accuracy.
- Ability to analyze and interpret financial statement information and to recommend the appropriate corrective action.

- Ability to establish and maintain effective working relationships and communication with coworkers, representatives of other state and federal agencies, and the general public.
- Ability to analyze financial statements and reports and to develop sound criticisms and recommendations for corrective action.
- Ability to organize and clearly express information in concise and accurate written form.
- Ability to use calculators, personal computers and application software.
- Ability to analyze statements and other records for irregularities.
- Ability to evaluate the soundness of financial practices and to ensure compliance with state requirements.
- Ability to effectively gather and communicate technical information in both verbal and written form.
- Ability to use independent thought and judgment in developing appropriate and effective solutions to assignments of a complex and varied nature.
- Ability to work effectively with company personnel, supervisory authorities, co-workers and the general public on all types of financial solvency problems and issues, including those of a controversial nature.

Other Requirements:

- Verification of identity and employment eligibility to work in the U.S. is required by federal law.
- Veteran's Preference Eligible – please visit <http://da.ks.gov/ps/aaa/recruitment/veterans.htm> for additional information
- Tax Clearance Certificate required, please visit <http://www.ksrevenue.org/taxclearance.html>
- Please submit your cover letter, resume, college transcripts, and valid Kansas Tax Clearance Certificate to kathy.ramskill@ks.gov.

How To Apply:

Step 1: Create an Account at <https://admin.ks.gov/services/state-employment-center/sec-home/state-employment/create-an-account>

Step 2: Complete the online State of Kansas Employment Application form and include it with your cover letter, resume and college transcripts.

Step 3: Send the Kansas Tax Clearance Certificate along with your other application materials to kathy.ramskill@ks.gov.

Recruiter Contact: Kathy Ramskill

Phone: 785-296-2124

Fax: 785-296-6872

Email: kathy.ramskill@ks.gov

KANSAS TAX CLEARANCE CERTIFICATE REQUIRED: Each applicant applying for a State of Kansas job vacancy 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>. **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.

Failure to follow the instructions and submit all required documentation may affect your consideration for this position. If you have questions, please don't hesitate to contact us at 785-296-2124.

Individuals with disabilities are encouraged to contact the Recruiter if reasonable accommodations are needed for any part of the application or hiring process.

The Office of the Securities Commissioner of Kansas, a division of the Kansas Insurance Department, is an Equal Opportunity Employer