



Kansas Insurance Department

Vicki Schmidt, Commissioner of Insurance

Office of the Securities Commissioner

Announcement of Vacant Position Internal - External

Posting Date: September 4, 2019 **REQ# 194569**
Division: Securities
Job Vacancy: Senior Staff Attorney
Compensation Rate: \$57,000 - \$72,000 *commensurate with experience*
Position Type: Unclassified, Regular, Full-Time, Exempt, Benefits-Eligible
Closing Date: September 20, 2019
Contact Person: Ms. Dale Hubbell; (785) 291-3801 – dale.hubbell@ks.gov

Primary Job Duties (Not All Inclusive):

- Assist in interpreting and enforcing the provisions of the Kansas Uniform Securities Act.
- Conduct extensive legal research to find and understand esoteric statutes, regulations, court rulings, administrative decisions, and other legal opinions, and synthesize conflicting decisions from different jurisdictions.
- Prepare compliance and enforcement cases for administrative or civil litigation under the Kansas Uniform Securities Act, including assisting compliance and enforcement personnel in their investigations. These cases and investigations tend to be document intensive and require prolonged attention to detail. Applicants must have an ability to maintain and organize voluminous documents and information.
- Prepare enforcement investigations for criminal prosecution by the Kansas Attorney General's Office, including providing legal advice to enforcement personnel regarding criminal procedure matters such as the Fourth and Fifth Amendments and help in the preparation of subpoenas and search warrants.
- Prosecute administrative and civil actions, including judicial review and

Jeffrey S. Wagaman, Securities Commissioner

Office of the Securities Commissioner, a division of the Kansas Insurance Department

appeals. Administrative and civil cases tend to be litigated primarily through written pleadings and motions practice with some hearing practice. Administrative cases are conducted under the Kansas Uniform Securities Act and Kansas Administrative Procedure Act consistent with the rules of evidence and civil procedure. Periodic prosecution of criminal actions in state and federal court.

- Obtain continuing legal education with emphasis on topics relevant for securities regulation. Passage of exams administered by the Financial Industry Regulation Authority (FINRA) is encouraged and supported by the agency.
- Monitor and report regarding industry developments, with opportunities to participate in the North American Securities Administrators Association (NASAA).

Education, Experience, Knowledge & Abilities:

Graduation from an accredited law school.

Certificate of admission to the Bar of the Supreme Court of Kansas.

Three to five years of experience practicing law as a licensed attorney, with at least two years of experience in civil or criminal litigation

- Knowledge of administrative and securities law preferred.
- No prior experience in the securities industry is required, but applicants with coursework or experience related to securities (including accounting, finance, administrative law, and business associations) will be preferred.
- Knowledge of judicial procedures and the rules of evidence required.
- Knowledge of the principles, methods, materials and practices of legal research required.
- Knowledge of the methods and practices of pleading and presenting civil and criminal cases required.
- Ability to analyze, appraise, and organize voluminous facts, evidence, and precedents and to present such materials clearly and logically in oral argument or written presentation, such as briefs, opinions, orders or decisions required.
- Ability to conduct investigations and discovery, including depositions and written discovery, required.
- Ability to find and understand esoteric statutes, regulations, court rulings, administrative decisions, and other legal opinions issued by a wide variety of regulatory bodies.

- Ability to obtain expertise in the highly complex area of securities law, and to exercise a large degree of analytical thought, problem solving, and independent judgment to resolve unusually complicated legal matters.
- Ability to analyze intricate and complex legal documents and instruments required.
- Ability to analyze financial documents and instruments required.
- Ability use of computer software, particularly Microsoft Word, Excel, and analytical software required.
- Ability to establish and maintain effective working relationships with other employees, securities industry representatives and the public required.
- Ability to draft legal instruments, proposed legislation, and legal opinions required.
- Ability to understand and interpret constitutional provisions, statutes, administrative regulations, and precedents required.

Key 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 <https://www.ksrevenue.org/taxclearance.html>

How To Apply:

Step 1: Create an Account at the State of Kansas Careers website at:
<https://admin.ks.gov/services/state-employment-center/sec-home>

Step 2: Once you have created an account, complete the online State of Kansas application form and upload your cover letter, resume and college transcripts along with the application.

Step 3: Submit the Kansas Tax Clearance Certificate along with your other application materials.

Recruiter Contact: Ms. Dale Hubbell

Phone: 785-291-3801

Fax: 785-296-8848

Email: dale.hubbell@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>. 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. **Failure to follow the instructions and submit all required documentation may affect your consideration for this position.**

If you have questions, please do not hesitate to contact us at 785-291-3801.

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

The Kansas Insurance Department is an Equal Opportunity Employer