



**NORTH DAKOTA
CLASS DESCRIPTION**

ND Human Resource Management Services

Class Code(s): 0417

Phone: (701) 328-3290

SECURITIES EXAMINATION/INVESTIGATION SUPERVISOR

GRADE N

SCOPE OF WORK:

Work involves conducting and supervising examinations and investigations of securities related activities for compliance with laws and taking enforcement action.

DUTIES PERFORMED:

- Manage assigned staff; develop and implement work standards; implement performance management measures; provide for training of staff; prioritize, schedule, and assign examinations and investigations.
- Determine goals and objectives of the work unit; develop and implement work unit policies and procedures.
- Interpret and apply laws, rules and regulations; participate in the development of regulatory policies and rules.
- Plan, organize, conduct, and direct examinations and audits of securities-related entities and individuals and prepare reports; prepare notification of potential law violations.
- Plan, organize, conduct, and direct investigations of complaints and alleged violations of laws, rules, and regulations; analyze information obtained, prepare reports, and make recommendations to the agency legal counsel and commissioner regarding appropriate enforcement, regulatory, or remedial actions.
- Assist and coordinate with local, state, and federal securities, regulatory, and law enforcement agencies in the examination and investigative process.
- Provide advice regarding problem areas discovered in examinations and recommend remedial action to maintain compliance with laws, rules, and regulations.
- Participate in determining settlement, civil penalties or other actions to be taken in case of violations; recommend to the Commissioner appropriate remedies, sanctions, or legal action.
- Maintain a consumer complaint system.
- Prepare and maintain custody of evidence and present testimony as an expert and/or fact witness in administrative hearing or court proceedings.
- Provide training to law enforcement on securities related issues and to clients on securities protection and education.

NOTE: The duties listed are not intended to be all-inclusive. Duties assigned any individual employee are at the discretion of the appointing authority.

MINIMUM QUALIFICATIONS:

Requires a bachelor's degree in business administration, finance, accounting, criminal justice, or a related field and three years of work experience in conducting securities examinations and investigations. Additional work experience as described may substitute for the education requirement on a year-for-year basis.

Eff. Date: 1/08

Rev: 7/12 – Conversion to Hay System