



# Direct Hire Career Opportunity Bulletin

## Department of Professional and Financial Regulation

### Office of Securities

#### *Senior Securities Examiner*

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**Opening Date:** 3/22/2018                      **Closing Date:** 4/27/2018  
**Location:** Gardiner                              **Class Code:** 0349  
**Position Type:** Full Time  
**Salary:** Grade 24 \$40,227 - \$54,516

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The Maine Department of Professional and Financial Regulation Office of Securities seeks a Senior Securities Examiner.

*Primary responsibilities include:*

- Conduct broker dealer and investment adviser field and desk examinations to ensure compliance with state law, rules and regulations
- Review license applications for investment advisers, broker dealers and representatives
- Examine quality of books, records, applications, internal controls, client files, correspondence and related transactions in order to determine transactions are conducted in accordance with applicable law, regulations and policy
- Analyze and evaluate financial transactions and positions and monitor company operations to ensure they operate consistent with legal requirements
- Develop and maintain accurate restitution records and contact restitution recipients as required
- Meet with and maintain contact with securities firms and industry professionals in order to discuss examination findings
- Assist investigative staff with the review and analysis of financial and transactional information as part of consumer complaint and enforcement activities
- Testify at hearings in order to explain examination findings
- Prepare examination reports with findings and recommendations as well as supporting data
- Assist investigative staff with the review and analysis of financial and transactional information as part of consumer complaint and enforcement activities

*To be successful in the position you must have knowledge of and experience in:*

- Reaching logical conclusions and making sound recommendations
- Writing clear, effective and precise reports
- Managing multiple tasks on a daily basis
- Acting as a lead worker in group projects

**QUALIFICATIONS:**

A six (6) year combination of education, training, and/or experience in the securities industry, securities regulation, corporate finance, or accounting and auditing, which includes at least one (1) year of financial examination work experience.

Questions about this position should be directed to Ed Moran, Director Division Examination & Licensing at (207) 624-8548 or [Edward.Moran@maine.gov](mailto:Edward.Moran@maine.gov).

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Public Service	Career Diversity
Retirement	Promotional Opportunities
Benefits	Over 10,000 Employees
Paid Holidays	Statewide Locations
Training	Seasonal Jobs
Full Time	Part Time

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**Application process:** In order to be considered for this position, qualified candidates must submit a State of Maine direct hire application, resume, cover letter and academic transcripts.

*Direct Hire Application forms can be obtained by contacting the SESC human resource office at (207)623-6734 or by accessing the state of Maine website at:*

[http://www.maine.gov/bhr/state\\_jobs/how\\_to/direct.htm](http://www.maine.gov/bhr/state_jobs/how_to/direct.htm)

Send completed applications to:  
Security & Employment Service Center  
Annette Caron Nash, H.R. Generalist  
108 State House Station  
Augusta, Maine 04333  
Tel: 207.623.6734  
[annette.caron-nash@maine.gov](mailto:annette.caron-nash@maine.gov)

**Applications must be postmarked on or before April 27, 2018.**

**Benefits:**

Value of State's share of Employee's Retirement: 15.12% of pay  
Value of State-paid Dental Insurance: \$13.13  
Value of State-paid Health Insurance\*  
Level of Coverage:  
95% State Contribution = \$406.19 biweekly (Employee pays: 5% = \$21.38)  
Level of Coverage:  
90% State Contribution = \$384.81 biweekly (Employee pays: 10% = \$42.76)  
\*The level of actual value of state paid Health Insurance will be based on employee's wage rate and status with regard to the health credit premium program.

