



# KANSAS INSURANCE DEPARTMENT

*Vicki Schmidt, Commissioner*

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## **Announcement of Vacant Position Internal - External**

Posting Date: December 10, 2021  
Job Vacancy: Compliance Examiner – Securities Division  
Job Opening ID: 202374  
Compensation Rate: \$52,000 entry level or commensurate with experience  
Position Type: Regular unclassified, full-time, non-exempt, eligible for full benefits.  
Closing Date: **January 7, 2022**  
Contact: Kathy Ramskill - [kathy.ramskill@ks.gov](mailto:kathy.ramskill@ks.gov) 785-296-2124

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The Office of the Kansas Securities Commissioner, a division of the Kansas Insurance Department, is offering a challenging and rewarding career opportunity as a Compliance Examiner. Career advancement opportunities are available within the Division and the Department. We offer a comprehensive benefits package including payment for continuing education and certifications in the securities and insurance fields. The Department provides a fantastic work environment. The Department recently moved into our newly renovated office near Wanamaker Road and would love for you to join our outstanding team and help us in our mission to “Regulate, Educate, & Advocate”.

### **Position Summary**

The Compliance Examiner conducts compliance examinations and investigate complaints involving broker-dealers and investment advisers registered to do business in the State of Kansas. The purpose of this position is to ensure broker-dealers and investments advisers subject to registration requirements are in compliance with the Kansas Uniform Securities Act, applicable Kansas Administrative Regulations, and other industry rules and policies in order to protect Kansas investors.

A majority of the Compliance Examiner’s time is dedicated to performing field examinations and conducting investigations. The exams include review of financial and operational procedures and documents, sales practices, supervision, due diligence practices, underwriting and market making activities, documents and financial statements obtained from consumers and complainants, and compliance with Kansas registration requirements. The Compliance Examiner also prepares reports for administrative orders, drafts referrals to Securities Enforcement for follow up investigations, and testifies in public proceedings. The position also requires research to answer questions from the public, members of the industry, and other regulators regarding the Kansas Uniform Securities Act, Kansas Administrative Regulations, and other industry rules and policies.

For a complete position description, please contact Kathy Ramskill.

### **Minimum Qualifications**

- Bachelor's degree in accounting, finance, business administration or a closely related field. Securities industry experience may be substituted for a bachelor's degree if deemed equivalent by the Department
- One year of professional experience working in a regulatory environment. Credentials in the securities or insurance fields may be considered to substitute for regulatory experience if deemed equivalent by the Department
- Valid driver's license; and
- Ability to pass a KBI background check

### **Desired Qualifications:**

- Experience in the securities industry
- Certified Fraud Examiner, Chartered Financial Analyst, Certified Financial Planner, or other securities industry certifications
- Series 7, 63 and /or 65 licenses
- Professional demeanor
- Organizational, scheduling, and prioritization skills
- Ability to manage time well, meet deadlines, work independently, and implement instructions given by senior staff members
- Maintain high level of confidentiality, ethics, and integrity
- Writing and communication skills with the ability to communicate well with individuals from various backgrounds
- Proficient in Microsoft Word, Excel, and PowerPoint

**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.

### **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 the following documents with your application:

- Resume
- Cover letter
- Kansas Tax Clearance Certificate
- Veterans' Preference K.S.A. 73-201(c) Form and DD-214, if applicable

**Recruiter Contact:** Kathy Ramskill

**Phone:** 785-296-2124

**Email:** [kathy.ramskill@ks.gov](mailto: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 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.

**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.

**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.

*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.**