Announcement of Vacant Position
Internal – External

Posting Date: August 27, 2020
Job Vacancy: Registration Examiner - Administrative Specialist
Division: Securities
Req. No: 197496
Compensation Rate: $36,400 - $43,680 annually (commensurate with qualifications and experience)
Position Type: Unclassified, Regular, Full-Time, Non-Exempt, Benefit’s Eligible
Closing Date: September 2, 2020
Contact: Ms. Dale Hubbell - dale.hubbell@ks.gov or 785-291-3801

Job Description:

The Office of the Kansas Securities Commissioner, a division of the Kansas Insurance Department, is seeking an experienced and motivated individual to join our team as a Registration Examiner. The Registration Examiner reviews and processes individual and firm applications for registration or exemption according to the Kansas Uniform Securities Act and relevant regulations. The ideal candidate will have the ability to comprehend basic accounting principles, securities laws, rules, and regulations at the state and federal level, as well as securities industry standards and ethics codes.

Primary Duties (Not All Inclusive):

- Review qualifications, disclosures, and background history of broker-dealer agent and investment adviser representative applications for registration;
- Identify individual applicants who have met the criteria for an examination waiver, obtain further information if required, and prepare a report for the Commissioner’s review and approval;
- Review and evaluate broker-dealer firm applications, including audited and unaudited financial statements for compliance with required net capital and aggregate indebtedness requirements;
- Handle inquiries requesting the status of pending individual and firm registration applications;
- Draft Orders for Exam Waivers, assign docket numbers, and process the waivers according to office procedures;
- Oversee receipt of FINRA Notices of suspension and revocation; investigate underlying activity for possible recommendation of administrative action;
- Review and process individuals pending in the U-5 (termination) queue on the CRD system;
• Prepare letters to applicants and registrants that have grounds for denial, examination deficiencies, or those from whom further information is needed;
• Track private adviser exemption filings, compliance with the applicable regulation and acknowledge status of exemption requests to applicants;
• Investigate reasons for statutory disqualification of firms related to waiver requests and prepare notes to be included with information for the Commissioner;
• Review documentation submitted with firm applications for investment adviser registration, prepare deficiency letters, and oversee registration process until all deficiencies are corrected;
• Analyze assessment of investment adviser annual amendment filings to identify violations; and
• Answer emails and questions received directly, those from the website, and via telephone calls from the public, other regulators, and members of the industry pertaining to registration matters.

Preferred Requirements:

• Graduation from an accredited four-year college or university with major course work in business administration, accounting, finance or related field(s). Professional or technical experience in securities or other closely-related financial field, as deemed by the Securities Commissioner to be sufficient qualification to perform the assigned work, may be substituted for the required college study.
• Securities or investment adviser background strongly preferred.
• Two years of experience working in the securities industry or in a regulatory environment is preferred.
• Series 63 exam with a passing score.
• Experience using FINRA CRD/IARD & I-Series database.

Other Requirements:

• Professional demeanor.
• Competent in basic accounting principles and practices.
• Excellent organizational, scheduling, and prioritization skills.
• Ability to manage multiple assignments, meet deadlines, work independently, and implement instructions given by Chief of Registration or senior staff member.
• Maintain high level of confidentiality, ethics, and integrity.
• Superior writing and communication skills with the ability to communicate well with individuals from various backgrounds.
• Proficient in Microsoft Office applications.
• As a condition of employment, candidates are subject to a pre-employment screening process to include name-based criminal history records check and reference/background check of past and present employers.
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 other required documents.

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

Recruiter Contact: Ms. Dale Hubbell
Phone: 785-291-3801
Fax: 785-296-8848
Email: dale.hubbell@ks.gov

What to Expect Next:

Your application will be reviewed and we 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.

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.

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.

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.