

**OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF PERSONNEL**

SECURITIES ANALYST

Position Code: K7935

DISTINGUISHING FEATURES OF THE CLASS

Under general direction, conducts routine analysis of information gathered through the investigative process; categorizes and analyzes information preparing it for use in the litigation process; works with auditors, investigators and prosecutors providing them with comprehensive statistical documentation and analysis of supporting charges in administrative, civil and criminal actions; utilizes standard and specialized knowledge in reviewing company financial statements, Broker-Dealer records, Investment Advisor records, Hedge Fund records, and other securities related documentation; retrieves market data from sources such as Bloomberg, Morningstar, Dow Jones, or other recognized sources; performs calculations of portfolio holdings in securities cases, including but not limited to mutual funds, hedge funds, municipal securities, bonds, variable annuities, and hybrid financial products.

ILLUSTRATIVE DUTIES AND RESPONSIBILITIES

1. Provides support to attorneys by preparing case docket; coordinating preparation of reports; analyzing data; identifying solutions; identifying deficiencies; explaining remedies through correspondence and written instruction; expediting corrections or adjustments; following up to ensure resolution; reviewing additional submissions or materials for completion; assists in preparing exhibits, subpoenas, witnesses for testimony, and other legal documents.
2. Gathers information by contacting witnesses, attorneys, claimants, and others; develops questions, reviews files and documents, and conducts research on Securities related cases.
3. Analyzes reported financial documentation for accuracy and cross-references market information in the verification process; summarizes finding for Securities Investigators, Legal Advisors, and prosecuting attorneys.
4. Assists in preparing testimony for administrative, civil and criminal proceedings regarding findings of securities investigations.
5. Promotes and maintains effective working relationships with local, state and federal law enforcement, prosecutorial officials, and other state and federal regulatory agencies.
6. Provides instruction and guidance to support staff assisting securities litigation.
7. Performs other duties as required or assigned.

SECURITIES ANALYST (Continued)

REQUIREMENTS:

Education and Experience

Requires knowledge, skill and mental development equivalent to completion of four years of college with major coursework in accounting, business administration, finance, economics, legal studies or related areas and one year of professional experience in securities analysis, auditing, legal support, accounting or related investigatory fields.

Knowledge, Skills and Abilities

- Requires working knowledge of auditing methods and techniques.
- Requires working knowledge of statistical evaluation.
- Requires working knowledge of the Illinois Securities Law.
- Requires the ability to read and understand financial documentation.
- Requires ability to prepare comprehensive written reports related to the fields of finance and litigation.
- Requires the ability to prepare legal documentation.
- Requires ability to provide clear oral and/or written instruction to support staff.
- Requires ability to understand and follow oral and written instructions.
- Requires ability and willingness to travel extensively and frequently and to work irregular hours.
- Requires ability to perform legal research.
- Requires ability to maintain satisfactory working relationships with fellow employees, law enforcement officials and the public.
- Requires possession of a valid Illinois driver's license.

Effective – August 16, 2005

EXAMINATION INFORMATION

Tests and Weights: Education and Experience, 100%

Length of Eligibility: 1 year