

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

SECURITIES SENIOR ANALYST

Position Code: K7936

DISTINGUISHING FEATURES OF THE CLASS

Under administrative direction, conducts difficult and complex analysis of information gathered through the investigative process; responsible for categorizing and analyzing information prepared for use in the litigation process; provides advice, counsel, and functional direction to lower level analysts working with auditors, investigators and prosecutors; may provide expert testimony during legal proceedings; serves as a liaison to state's attorneys, the Attorney General's Office, Securities Exchange Commission, or affected or interested parties; maintains current knowledge of trends in securities enforcement and litigation

ILLUSTRATIVE DUTIES AND RESPONSIBILITIES

1. Responsible for accurate and complete preparation of documentation utilized in the litigation process; this includes case docket; exhibits, witness statements, subpoenas, correspondence and other documentation.
2. Testifies in administrative, civil, and criminal proceeding as an expert witness for the department.
3. Provides advise counsel and functional direction to lower level analysts as a team leader; assists in training lower level analysts.
4. Responsible for the accuracy and completeness of information used in the verification process and summaries for Securities Investigators, Legal Advisors, and prosecuting attorneys; participates with enforcement attorneys in making determinations for departmental administrative or judicial action and in preparation of cases.
5. Prepares complex and detailed reports and recommendations for administrative, civil, and criminal proceedings.
6. Assists in preparing testimony for administrative, civil and criminal proceedings regarding findings of securities investigations.
7. Serves as a departmental liaison with local, state and federal law enforcement, prosecutorial officials, and other state and federal regulatory agencies.
8. Performs other duties as required or assigned.

SECURITIES SENIOR 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 two years 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 working knowledge of courtroom proceedings.

Requires the ability to supervise clerical, para-professional, and professional level subordinates.

Requires the ability to prepare legal documentation.

Requires ability to provide clear oral and/or written instruction to support staff.

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 ability to understand and follow oral and written instructions.

Requires possession of a valid Illinois driver's license.