

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

SECURITIES INVESTIGATOR

Position Code: K8000

DISTINGUISHING FEATURES OF THE CLASS

Under general supervision, conducts routine investigations of possible violations of the Illinois Securities Law; assists in conducting more difficult investigations as a team member; utilizes standard and specialized investigative techniques for obtaining, documenting and providing evidence in administrative, civil and criminal actions.

ILLUSTRATIVE DUTIES AND RESPONSIBILITIES

1. Conducts routine investigations of possible violations of the anti-fraud provisions of the Illinois Securities Law primarily involving routine violations of the securities, dealer, salesperson and investment advisor registration requirements of the law; conducts investigations to determine the registration status of dealers, salespersons and investment advisors.
2. Assists in conducting more complex investigations of fraudulent activities such as misrepresentation of ownership of investments requiring interviewing victims, witnesses and investigative subjects; develops and analyzes information; prepares thorough and accurate written reports.
3. Make recommendations for administrative or judicial action in routine cases.
4. Testifies in administrative, civil and criminal proceedings regarding findings of securities investigations.
5. Promotes and maintains effective working relationships with local, state and federal law enforcement and prosecutorial officials and other state and federal regulatory agencies.
6. Provides instruction and guidance to less experienced staff in conducting securities investigations.
7. Performs other duties as required or assigned.

SECURITIES INVESTIGATOR (Continued)

REQUIREMENTS:

Education and Experience

Requires knowledge, skill and mental development equivalent to completion of four years of college with courses in accounting, law enforcement, business administration or pre-law and one year of experience in law enforcement or regulatory investigations or completion of a department approved training program.

Knowledge, Skills and Abilities

Requires working knowledge of investigatory methods and techniques.

Requires working knowledge of the Illinois Securities Law as it applies to enforcement and anti-fraud provisions.

Requires ability to prepare comprehensive investigative written reports.

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 conduct routine investigations of possible violations of the Illinois Securities Law.

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 Date of Classification – December 9, 2006

Date of Last Revision – December 19, 2012