

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

**SECURITIES INVESTIGATOR TRAINEE**

**Position Code: K8007**

**DISTINGUISHING FEATURES OF THE CLASS**

Under direct supervision, for a period not to exceed twelve (12) months, receives training and orientation in conducting investigations of possible violations of the Illinois Securities Law; receives training and orientation in documenting and providing evidence in administrative, civil and criminal actions; performs limited assignments designed to enhance knowledge and skill in conducting securities investigations and in identifying possible fraudulent activities in the securities industry.

**ILLUSTRATIVE DUTIES AND RESPONSIBILITIES**

1. Receives training in conducting investigations of possible violation of the anti-fraud provisions of the Illinois Securities Law; receives training in conducting investigations of possible violations of the securities, dealer, salesperson and investment advisor registration requirements of the law; receives training in conducting investigations to determine the registration status of dealers, salespersons, and investment advisors.
2. Performs limited assignments, under close guidance of an experienced investigator, in conducting securities investigations including interviewing victims, witnesses and investigative subjects; searches official records for information of an evidential nature; develops skills in the analysis of information and in the preparation of thorough and accurate written reports.
3. Promotes and develops effective working relationships with local, state and federal law enforcement and prosecutorial officials and other state and federal regulatory agencies.
4. Serves subpoenas and orders arising from departmental administrative actions or court proceedings; testifies in administrative, civil and criminal proceedings regarding findings of investigations.
5. Performs other duties as required or assigned.

**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.

## **SECURITIES INVESTIGATOR TRAINEE (Continued)**

### **Knowledge, Skills and Abilities**

Requires elementary knowledge of investigatory methods and techniques.

Requires ability to prepare comprehensive investigative written reports.

Requires ability to understand and follow oral and written instructions.

Requires ability to comprehend and become knowledgeable in the registration and anti-fraud provisions of the Illinois Securities Law.

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, 1986

Date of Last Revision – December 19, 2012