

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

SECURITIES SENIOR INVESTIGATOR

Position Code: K8020

DISTINGUISHING FEATURES OF THE CLASS

Under administrative direction, conducts complex investigations of possible violations of the Illinois Securities Law; provides advice, counsel and functional direction to lower-level investigative staff in the conduct of complex securities investigations; develops and maintains liaison with enforcement attorneys, state's attorneys, the Attorney General's Office, the Securities Exchange Commission and other interested or affected parties; assists in the preparation of cases for hearing.

ILLUSTRATIVE DUTIES AND RESPONSIBILITIES

1. Conducts complex investigations of possible violations of the anti-fraud provisions of the Illinois Securities Law including a variety of fraudulent activities such as misrepresentation of ownership of investments requiring extensive investigation, interviewing of victims, witnesses and investigative subjects; conducts investigations of possible violations of the securities, dealer, salesperson and investment advisor registration requirements of the Securities Law.
2. Provides advice, counsel and functional direction to lower-level investigative staff as team leader especially in complex investigation cases; assists in training lower-level investigative staff.
3. Reviews and analyzes findings of investigations (interviews, record searches, etc.) and makes recommendations as to disposition of cases; prepares comprehensive and detailed investigative reports on complex cases; participates with enforcement attorneys in the determination for departmental administrative or judicial action and in the preparation of cases for hearing.
4. Testifies in administrative, civil and criminal proceedings as expert witness for the department.
5. Promotes and maintains effective liaison with local, state and federal law enforcement and prosecutorial officials and other state and federal regulatory agencies.
6. Performs other duties as required or assigned.

SECURITIES SENIOR 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, and business administration or pre-law and two years of experience in law enforcement or regulatory investigations.

Knowledge, Skills and Abilities

Requires elementary knowledge of investigatory methods and techniques.

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

Requires ability to exercise discretion and independent judgment in analyzing and evaluating information and resolving conflicts in facts and evidence.

Requires ability to compile and prepare comprehensive investigative reports, presenting evidence in a clear, concise manner and to make appropriate recommendations concerning disposition of the investigation.

Requires ability to plan and conduct complex investigations of a complex and/or highly sensitive nature.

Requires ability and willingness to travel extensively and frequently and to work irregular hours.

Requires ability to provide clear oral and written instruction to lower-level investigative staff.

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

EXAMINATION INFORMATION

Tests and Weights: Education and Experience, 100%

Length of Eligibility: 1 year