

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

SECURITIES SENIOR SPECIAL AGENT

TITLE CODE: K8030

DISTINGUISHING FEATURES OF THE CLASS

Under administrative direction, conducts complex investigations, searches, seizures, and arrests of possible violators of the Illinois Securities Law; provides advice, counsel and functional direction to lower-level investigative staff in the conduct of securities investigations and making of criminal arrests.

ILLUSTRATIVE DUTIES AND RESPONSIBILITIES

1. Conducts complex investigations for possible violations of the anti-fraud provisions of the Illinois Securities Law primarily involving complex violations of the securities, dealer salesperson and investment advisor registration requirements of the law; obtains warrants and makes arrests when applicable.
2. Provides functional direction to trainees and lower level agents engaged in conducting investigations and making criminal arrests of possible violations of the securities, dealer, salesperson and investment advisor registration requirements.
3. Develops and maintains liaison with enforcement attorneys, state's attorneys, the Attorney General's Office, the Securities Exchange Commission and other affected parties; oversees the preparation of cases for hearing.
4. Testifies in administrative, civil and criminal proceedings as expert witness for the Secretary of State Department of Securities.
5. Promotes and maintains effective liaison with local, state, and federal law enforcement and prosecutors and other state and federal regulatory agencies.
6. Performs other duties as required or assigned.

SECURITIES SENIOR SPECIAL AGENT (Continued)

REQUIREMENTS:

Education and Experience

Requires knowledge, skill and mental development equivalent to completion of four years of college preferably with courses in law enforcement, criminal justice, business administration or pre-law, and two years of experience as a sworn law enforcement officer preferably dealing with securities regulation.

Knowledge, Skills and Abilities

Requires thorough 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 direct the work of trainees and lower level agents.

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 – September 10, 2003

Date of Last Revision – December 19, 2012

EXAMINATION INFORMATION

Tests and Weights: Education and Experience, 100%

Length and Eligibility: 1 year