

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

SECURITIES SPECIAL AGENT

TITLE CODE: K8035

DISTINGUISHING FEATURES OF THE CLASS

Under general supervision, functions as a sworn statutory peace officer and possesses full law enforcement authority; performs field enforcement activities in providing for public safety and professional enforcement of all Illinois Compiled Statutes dealing with Illinois Securities Law; utilizes standard and specialized investigative techniques for obtaining, documenting and providing evidence in administrative, civil, and criminal actions.

ILLUSTRATIVE DUTIES AND RESPONSIBILITIES

1. Conducts 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. Makes criminal arrests and initiates other enforcement action based upon investigations, when appropriate.
3. Testifies in administrative, civil and criminal proceedings as expert witness for the Office of the Secretary of State.
4. Provides advice, counsel and functional direction to lower-level investigative staff.
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 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 one year of experience as a sworn law enforcement officer preferably dealing with securities regulation or completion of an agency approved training program.

Knowledge, Skills and Abilities

Requires working knowledge of law enforcement investigative methods and techniques.

Requires working 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 trainees.

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 of Eligibility: 1 year