

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

**SECURITIES SPECIAL AGENT-CHIEF**

**TITLE CODE: K8036**

**DISTINGUISHING FEATURES OF THE CLASS**

Subject to management approval, performs supervisory/managerial work in planning, organizing, directing and coordinating the activities of investigators and sworn agents engaged in the conduct of investigations to enforce the provisions of the Illinois Securities Act and other related statutory provisions.

**ILLUSTRATIVE DUTIES AND RESPONSIBILITIES**

1. Plans, directs, coordinates, evaluates, sets priorities, and supervises the activities of investigators and sworn agents engaged in conducting investigations and making criminal arrests for possible violations of the Illinois Securities Act, including dealer, salesperson and investment advisor registration requirements.
2. Prepares and submits for approval proposed budgetary materials for the organization; exercises responsibility for personnel management, program development and public relations; exercises responsibility for assignment of daily work tasks, recommends personnel actions affecting subordinate staff; establishes work standards and evaluates employee performance.
3. Conducts complex investigations for possible violations of the anti-fraud provisions of the Illinois Securities Act; obtains warrants and makes arrests when applicable; testifies in administrative, civil and criminal proceedings as expert witness for the Secretary of State, Securities Department.
4. Exercises responsibility for the maintenance of training records for sworn personnel to insure compliance with training mandates established by the Illinois Law Enforcement Training and Standards Board; maintains quality control and security of ammunition and firearms; insures sworn personnel compliance with annual firearm qualification requirements.
5. Insures compliance with state and federal mandated reporting requirements such as Uniform Crime Reporting statistics, NCIC audit reports, and annual post-certification data on sworn personnel; exercises responsibility for maintaining the confidentiality and integrity of NCIC/LEADS data.
6. Coordinates activities of department with related activities of other jurisdictions to ensure efficiency and economy; monitors and analyzes costs; participates in establishing rules and regulations for the department.
7. Performs other duties as required or assigned.

## **SECURITIES SPECIAL AGENT-CHIEF (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, and business administration or pre-law, and two years of supervisory law enforcement experience 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 drivers license.

Approved by the Secretary of State Merit Commission - December 10, 2003

Effective – December 16, 2003

### **EXAMINATION INFORMATION**

Tests and Weights:                      Training and Experience Test, 100%