

NOTICE OF RECRUITMENT

Opening Date: June 10, 2015

Closing Date: Until Filled

Job Title: Auditor IV

Band: 6

Pay Range: \$38,703 - \$71,608

Division: Securities

Duties:

Under limited supervision, conduct examinations of broker-dealer and investment adviser firms and their personnel to ensure compliance with the South Carolina Uniform Securities Act and associated rules and regulations. Specific responsibilities include: examining firm and agent or representative records, interviewing witnesses, and procuring physical and documentary evidence for compilation into reports; identifying, examining, and analyzing financial data and compiling detailed financial findings and conclusions, using spreadsheet and summary devices as necessary; reviewing and interpreting a variety of financial transactions and other corporate, business, and financial processes and record-keeping systems; preparing detailed reports of all audit findings, providing analysis and documents to support conclusions; presenting findings for review by assigned legal staff of the Securities Division; and testifying, as necessary, at hearings relating to audits and investigations. Will also be responsible for organizing, scheduling, conducting and following up on all aspects of assigned audits and investigations and performing other related duties as assigned by the Assistant Deputy Attorney General of the Securities Division, the Deputy Securities Commissioner, and/or the Chief Deputy Attorney General. Travel during the day and some overnight stays are required.

Knowledge/Skills/Abilities:

Must have ability to interpret and apply federal and state securities laws. Must possess excellent written and oral communication skills.

Minimum Training and Experience:

BS or BA degree required. Two years' experience in the securities or investment adviser business, or an equivalent amount of experience in compliance/auditing preferred.

DRUG SCREENING, CREDIT CHECK, DELINQUENT TAX CHECK AND SLED BACKGROUND CHECKS REQUIRED.

THIS OFFICE IS AN EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION EMPLOYER.