



STATE OF COLORADO
invites applications for the position of:

DORA: Chief Examiner, Financial Credit Examiner IV

This position is open only to Colorado state residents.

CLASS TITLE: FINANCIAL/CREDIT EXAMINER IV

LOCATION: Denver Metro, Colorado

PRIMARY PHYSICAL WORK ADDRESS: 1560 Broadway Denver CO 80203

SALARY: \$6,262.00 - \$9,492.00 Monthly

SALARY NOTE: Although the full salary range for this position is provided, appointments are typically made at or near the range minimum.

OPENING DATE: 08/26/16

CLOSING DATE: 09/09/16 11:59 PM

JOB TYPE: Full Time

DEPARTMENT INFORMATION:



The Department of Regulatory Agencies (DORA) is dedicated to preserving the integrity of the marketplace and is committed to promoting a fair and competitive business environment in Colorado.

Consumer protection is our mission.

DORA is a progressive, innovative government agency where employees and customers alike are valued. In an effort to align with Governor Hickenlooper's Three E's of good government (Effective, Efficient and Elegant), DORA has utilized and implemented numerous LEAN projects, and continues to identify areas where progress and improvements can be made. If you are interested in becoming a part of an environment where creative thinking, customer service, and protecting consumers through healthy regulation is valued, DORA is the place for you! Working for the State of Colorado at the Department of Regulatory Agencies offers an excellent total compensation package including:

- Medical and Dental Health Insurance for employees and optional coverage for their dependents
- Life Insurance for employees, and optional coverage for their dependents
- Paid Time Off, including 10 paid holidays
- Strong, secure, yet flexible retirement benefits including PERA Defined Benefit Plan, PERA Defined Contribution Plan plus 401K and 457 plans

- Job Security
- Commuter Benefits
- Free, Confidential Counseling Services
- Excellent work-life programs such as flexible schedules, training opportunities and more!

*Customer service is a key component for every position in state government as is the focus on ideas and ways to redesign the delivery of services in making state government more:

- Effective. Measure every aspect of government to be sure it's doing what it's supposed to do and to look at outcomes to judge whether our programs are successful.
- Efficient. Deliver services in ways that are timely and effective including identifying waste and duplication and measure for efficiency.
- Elegant. Deliver state services in a way that elevates both the state employee and the person receiving state services.

DESCRIPTION OF JOB:**ORGANIZATIONAL AND PROGRAM PURPOSE:**

This work unit serves as an early warning system for investors by ensuring that securities firms are complying with the law and to prevent dishonest and unethical sales practices. The work unit accomplishes this mission through the examination and licensing of securities professionals, and ensuring compliance with the securities laws. The work unit conducts field and desk (remote) examinations, and or audits, and off-site monitoring of broker dealers and investment advisers with the purpose of preventing and detecting unlawful behavior, and ensuring compliance within industry standards and rules. The result of the audit can include comment letters recommendations for corrective action, and referrals to Enforcement for revocation of license proceeding, or civil or criminal enforcement actions. The purpose of the work unit also includes the licensure of securities broker-dealers, investment advisers, investment adviser representatives, and sales representatives as well as registering securities offerings and exemptions in Colorado.

MAJOR OBJECTIVES OF POSITION:

This position is a leadership position that oversees and directly supervises the nine examiners within the Examination Section of the Division of Securities including the monitoring of the timely completion of examinations, review of applications of other required filings in order to ensure efficient output. Specific duties include but are not limited to:

- Supervises the members of the section and directs their activities by assigning duties. Instructs staff regarding designated duties and updates professional skills. Plans for ongoing updates of examiners' professional skills. Develops goals, objectives, and deadlines for the examination section. Resolves routing personnel issues or problems. Ensures that examiners receive appropriate training and assignments corresponding to their strengths. Coordinates examination schedules and policies and procedures related to investment adviser and broker dealer examinations, licensing functions, and securities registrations.
- Examines and analyzes books and records of securities broker-dealers and sales representatives for the purpose of determining compliance with securities laws and regulations. Corresponds with broker-dealers regarding issues of non-compliance. Recommends and justifies action to be taken against violators in order to prevent further non-compliance.
- Examines and analyzes books and records of securities broker-dealers and sales representatives for the purpose of determining compliance with securities laws and regulations. Corresponds with broker-dealers regarding issues of non-compliance. Recommends and justifies action to be taken against violators in order to prevent further non-compliance.
- Reviews applications for licenses for completeness and accuracy. Submits recommendations to the Securities Commissioner whether an order approving, denying and/or disciplining those who are regulated should be issued. Monitors all licensees for defunct firms and firms that fail to pay annual licensing fees. Recommends courses of action to be taken against violators.

- Responds to telephone and written inquiries from the public. Informs public about methods to protect themselves before investing and advises the public of alternative courses of action in response to perceived abuses in investments. Clarifies the intent of provision of the Colorado Securities Act for industry professionals.

MINIMUM QUALIFICATIONS, SUBSTITUTIONS, CONDITIONS OF EMPLOYMENT & APPEAL RIGHTS:

MINIMUM REQUIREMENTS:

Graduation from an accredited college or university with a bachelor's degree in accounting, banking, business, economics, finance, statistics, or a field of study directly related to the assignment, or a closely related field **AND** five years of professional* experience with conducting examinations or acting as a legal or compliance advisor in the area of broker-dealer, investment adviser, or financial institution examinations.

Document this experience in your application IN DETAIL, as your experience will not be inferred or assumed. Part time experience will be prorated.

SUBSTITUTIONS:

Professional experience as a practicing securities law attorney, including advising an agency that conducts broker-dealer, investment adviser, or other financial institution examinations, may be substituted for the professional examination experience required. A master's or doctorate degree from an accredited college or university in accounting, banking, business, economics, law, finance, statistics, or a field of study directly related to the assignment may substitute for the bachelor's degree and one year of experience.

**Professional work involves exercising discretion, analytical skill, judgment, and personal accountability and responsibility for creating, developing, integrating, applying, and sharing an organized body of knowledge that characteristically is: uniquely acquired through an intense education or training regimen at a recognized college or university; equivalent to the curriculum requirements for a bachelor's or higher degree with major study in or pertinent to the specialized field; and continuously studied to explore, extend, and use additional discoveries, interpretations, and application and to improve data, materials, equipment, applications and methods.*

REQUIRED COMPETENCIES:

The following knowledge, skills, abilities, and personal characteristics are required competencies and may be considered during the selection process (including examination and/or interview):

- Demonstrated ability to analyze complicated data and reach conclusions that result in action or changes;
- Demonstrated ability to negotiate and build consensus in a complex and high pressure environment, as well as maintain constructive relationships with internal and external stakeholders;
- Demonstrated exceptional, interpersonal, written and oral communication skills;
- The ability to adapt quickly to changing circumstances;
- The ability to deal with conflict in a constructive manner;
- The ability to advise or guide the direction taken to resolve complaints and influence correct behaviors;
- The ability to think analytically;
- Demonstrated exceptional ability to understand the law and how it relates to the securities industry;
- Ability to convey information to the public and to staff members to create change and pursue best practices.

PREFERRED QUALIFICATIONS/COMPETENCIES:

The following knowledge, skills, abilities, and personal characteristics are **preferred** competencies and may be considered during the selection process (including examination and/or interview):

- Federal or state investment adviser, broker-dealer, or other financial institution examining experience;
- Formal supervisory experience of professional level staff;
- Juris Doctorate;
- Private securities attorney (advising those who are examined);
- Leadership and management experience which included:
 - Organizational assessment and restructuring;
 - Staff selection recruitment and supervision;
 - Budgeting and resource allocation.

CONDITIONS OF EMPLOYMENT:

- Candidates who fail to meet conditions of employment will be removed from consideration.
- Applicants must possess and maintain a valid State of Colorado driver's license. This position requires the ability to travel locally, nationally, and occasionally internationally, up to 70% of the time, including staying over weekends when required; and the ability to transport equipment including, but not limited to, laptop computers, printers, manuals and supplies.
- The successful passing of a reference check and/or background check.
 - A reference check may include but is not limited to: contacting previous and current supervisors to verify employment and discuss performance, a review of the personnel file, a review of the performance record, etc.
 - The type of background check depends on the job duties of the position, and can include a review of any criminal record, credit report, and/or driving record.

Appeal Rights

If you receive notice that you have been eliminated from consideration for the position, you may protest the action by filing an appeal with the State Personnel Board/State Personnel Director within 10 days from the date you receive notice of the elimination.

Also, if you wish to challenge the selection and comparative analysis process, you may file an appeal with the State Personnel Board/State Personnel Director within 10 days from the receipt of notice or knowledge of the action you are challenging.

Refer to Chapters 4 and 8 of the State Personnel Board Rules and Personnel Director's Administrative Procedures, 4 CCR 801, for more information about the appeals process. The State Personnel Board Rules and Personnel Director's Administrative Procedures are available at www.colorado.gov/spb.

A standard appeal form is available at: www.colorado.gov/spb. If you appeal, your appeal must be submitted in writing on the official appeal form, signed by you or your representative, and received at the following address within 10 days of your receipt of notice or knowledge of the action: Colorado State Personnel Board/State Personnel Director, Attn: Appeals Processing, 1525 Sherman Street, 4th Floor, Denver, CO 80203. Fax: 303-866-5038. Phone: 303-866-3300. The ten-day deadline and these appeal procedures also apply to all charges of discrimination.

SUPPLEMENTAL INFORMATION:

PLEASE READ - Required Application Materials

Interested individuals must submit the following online:

1. **A completed State of Colorado Application** (log-in to your current NeoGov account or create a NeoGov account to complete the online application). Note: Incomplete applications, including incomplete work history sections or "see résumé," "see attachment," or "see addendum" statements, will not be accepted in lieu of a completed application form.

2. **A current email address** on your application, as all communication pertaining to this position will be conducted via email. Please set up your email to accept messages from info@governmentjobs.com and '@state.co.us' addresses, and check your email often. Note: The department cannot guarantee the successful delivery of email, including incorrect filtering into junk mail folders.
3. **A detailed cover letter**, explaining how you meet the required competencies and how your accomplishments, qualifications, skills, areas of expertise, personal characteristics, etc. make you a good fit for this position; you may also attach additional documents that demonstrate this.
4. **In an attachment to your cover letter**, please describe one of your major achievements which demonstrates your ability to negotiate and build consensus in a complex environment, while maintaining constructive relationships with internal and external stakeholders.

Comparative Analysis Process: Structured Application Review

Part of, if not the entire, comparative analysis process for this position will involve a review of the information you submit in your application materials; Therefore, it is paramount that in the experience portion of your application and cover letter, you describe the extent to which you possess the education, experience, and competencies outlined in the job announcement as well as the required and/or preferred qualifications/competencies. You are also encouraged to attach additional documents to that effect. Failure to include adequate information or follow instructions may affect your score and prevent you from competing in subsequent measures used to arrive at a top group of applicants.

Veterans' Preference: Candidates who wish to assert Veterans' Preference should attach a copy of their DD214 to their application. Failure to do so will result in being denied Veterans Preference.

PLEASE NOTE: Former State Personnel System employees who were disciplinarily terminated or resigned in lieu of termination must disclose this information on the application. Colorado Revised Statutes require that all state employees be hired and promoted through competitive examination of merit and fitness. Failure to include the required information, failure to follow instructions, and/or failure to submit materials by the application deadline may result in your application not being considered for the position and may affect your score or inclusion in the final pool of qualified candidates.

HOW TO APPLY: Thank you for your interest. Submit an on-line application by clicking the link below or submit a State of Colorado Application for Announced Vacancy and all supplemental questions according to the instructions provided below. Failure to submit a complete and timely application may result in the rejection of your application. Applicants are responsible for ensuring that application materials are received by the appropriate Human Resources office before the closing date and time listed above.

IF NOT APPLYING ON-LINE, SUBMIT APPLICATION TO:

Only on-line applications will be accepted at this time.

DEPARTMENT CONTACT INFORMATION:

Alicia Melendez alicia.melendez@state.co.us

METHODS OF APPOINTMENT: Appointment to the vacancy or vacancies represented by this announcement is expected to be from the eligible list created. However, at the discretion of the appointing authority, the position(s) may be filled by another method of appointment for a valid articulated business reason.

APPLICATIONS MAY BE FILED ONLINE AT:
<http://www.colorado.gov/jobs>

Position #SLA-8515-08/16
DORA: CHIEF EXAMINER, FINANCIAL CREDIT EXAMINER IV
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THE STATE OF COLORADO IS AN EQUAL OPPORTUNITY EMPLOYER.

DORA: Chief Examiner, Financial Credit Examiner IV Supplemental Questionnaire

- * 1. Please provide your Social Security Number. NOTE: This information will be kept strictly confidential and is only accessible to Human Resources Personnel.
- * 2. Are you a current or previous State of Colorado employee? Enter "yes" or "no" in the space provided. If "yes", enter 1) the State agency name, 2) dates of employment, and 3) your official classification title.
- * 3. VETERAN'S PREFERENCE NOTE: If you are not eligible for/seeking Veteran's Preference, please skip down to the bottom and select option "N/A". REQUIRED DOCUMENTATION: Candidates who wish to assert Veterans' Preference should attach a copy of their DD214 reflecting dates of service, type of discharge, and, if appropriate, a campaign badge or service medal. If information regarding a campaign badge or service medal is necessary to award preference points and is not reflected on the DD214, other documents reflecting the grade or medal must be provided. Other types of documentation may be required for ten point preference. *Note 1: For a complete list of service dates and campaigns used in awarding preference points visit: <http://www.opm.gov/veterans/html/vgmedal2.htm> **Note 2: Medal holders and Gulf War veterans who originally enlisted after September 7, 1980, or entered active duty on or after October 14, 1982, without having previously completed 24 months of continuous active duty; must have served continuously for 24 months or the full period called or ordered to active duty. ***Note 3: Effective October 1, 1980, military retirees at or above the rank of major or equivalent, are not entitled to preference unless they qualify as disabled veterans. Reservists who are retired from the Reserves but are not receiving retirement pay are not considered "retired military" for purposes of veterans' preference. REMINDER: Proof of eligibility must be provided before points are allowed. Please attach documentation to your application. If you have not done so, please go back and do so now. Veteran's Preference points WILL NOT be applied without the appropriate documentation. PLEASE CHECK ALL THAT APPLY:
- ☐ N/A - I am not eligible for/seeking Veteran's Preference.
- ☐ A) I was honorably separated (this means an honorable or general discharge) and I served on active duty (excluding active duty for training) in the Armed Forces: During any war declared by Congress
- ☐ B) I was honorably separated (this means an honorable or general discharge) and I served on active duty (excluding active duty for training) in the Armed Forces: During the period April 28, 1952, through July 1, 1955;
- ☐ C) I was honorably separated (this means an honorable or general discharge) and I served on active duty (excluding active duty for training) in the Armed Forces: For more than 180 consecutive days, any part of which occurred after January 31, 1955, and before October 15, 1976;
- ☐ D) I was honorably separated (this means an honorable or general discharge) and I served on active duty (excluding active duty for training) in the Armed Forces: During the Gulf War period beginning August 2, 1990, and ending January 2, 1992;
- ☐ E) I was honorably separated (this means an honorable or general discharge) and I served on active duty (excluding active duty for training) in the Armed Forces: For more than 180 consecutive days, any part of which occurred during the period beginning September 11, 2001, and ending on the date prescribed by Presidential proclamation or by law as the last day of Operation Iraqi Freedom; or,
- ☐ F) I was honorably separated (this means an honorable or general discharge) and I served on active duty (excluding active duty for training) in the Armed Forces: In a campaign or expedition for which a campaign medal has been authorized*, such as El Salvador, Lebanon, Granada, Panama, Southwest Asia, Somalia, and Haiti.
- ☐ G) I have served on active duty in the Armed Forces at any time and have a present service connected disability or are receiving compensation, disability retirement benefits, or pension from the military or the Department of Veterans Affairs; or

- ☐ H) I am a Purple Heart recipient;
- ☐ I) I am the spouse of a veteran unable to work because of a service-connected disability;
- ☐ J) I am the unmarried widow/widower of certain deceased veterans; and
- ☐ K) I am the mother of a veteran who died in service or who is permanently and totally disabled.

- * 4. Part of the required application materials includes a detailed cover letter, explaining how you meet the required competencies and how your accomplishments, qualifications, skills, areas of expertise, personal characteristics, etc. make you a good fit for this position; you may also attach additional documents that demonstrate this. Q: Have you included this cover letter as an attachment to your application? (If not, you may go back and do so now). Yes, I have attached the required cover letter explaining how I meet the required competencies and how my accomplishments, qualifications, skills, areas of expertise, personal characteristics, etc. make me a good fit for this position; I may also attach additional documents that demonstrate this. No, I have not attached the required cover letter to my application. Note: I understand that failure to include this information and follow instructions may prevent me from competing in subsequent measures used to arrive at a top group of applicants.

☐ Yes ☐ No

- * 5. Please describe how your professional experience relates to this position.

* Required Question