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Benefits	Over 10,000 Employees
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Training	Seasonal Jobs
Full Time	Part Time

Application process:

In order to be considered for this position, qualified candidates must submit a State of Maine direct hire application, resume, and cover letter.

Direct Hire Application forms can be obtained by contacting the SESC human resource office or by accessing the state of Maine website at:
http://www.maine.gov/bhr/state_jobs/how_to/direct.htm

Send completed applications to:
Security and Employment Service Center
Annette Caron Nash, H.R. Generalist
108 State House Station
Augusta, Maine 04333
Tel: 207.623.6734
annette.caron-nash@maine.gov

Applications must be postmarked on or before April 26, 2016.

Benefits:

Value of State's share of Employee's Retirement: 15.3% of pay
Value of State-paid Dental Insurance: \$13.13
Value of State-paid Health Insurance*
Level of Coverage:
95% State Contribution = \$377.73 biweekly (Employee pays: 5% = \$19.88)
90% State Contribution = \$357.85 biweekly (Employee pays: 10% = \$39.76)

*The level of actual value of state paid Health Insurance will be based on employee's wage rate and status with regard to the health credit premium program.

Direct Hire Career Opportunity Bulletin

Department of Professional and Financial Regulation

Office of Securities *Senior Securities Specialist* *(Investor Education Manager)*

Class Code: 0888

Opening Date: April 12, 2016 **Closing Date:** April 26, 2016
Location: Gardiner
Position Type: Full Time
Salary: Grade 25 \$40,643 - \$55,203

DESCRIPTION:

The Maine Department of Professional and Financial Regulation Office of Securities seeks a Senior Securities Specialist.

Primary responsibilities include:

- Advising consumers and investigating consumer complaints (develop, implement and coordinate the agency's investor education programs and campaigns) Obtain and analyze consumer complaints including elder financial exploitation issues
- Examining broker dealer and investment adviser securities practices to determine conformance with state laws, rules and regulations
- Advise management on industry trends and practices
- Speaks before business groups, attends trade shows to promote consumer education, prepares and distributes brochures, press releases and other written materials
- Drafting legal documents

To be successful in the position you must have knowledge of and experience in:

- State and Federal laws and regulations applicable to securities
- Record keeping practices by broker-dealers and investment advisers
- Maintaining communications and effective working relationships with outside agencies, staff, state officials and the public at large
- Writing clear and accurate reports of investigations
- Reaching logical conclusions and make sound recommendations

QUALIFICATIONS:

A seven (7) year combination of education and/or experience providing knowledge of securities, law, or finance. Examples of acceptable experience are investigative work in a securities agency; an investigator for a legislative or congressional committee involved with banking, securities legislation, or business or labor practices; or experience in a broker-dealer firm.

The above examples are not all inclusive and all relevant experience will be considered. Professional experience may be substituted for education on a year for year basis. Occasional statewide travel is required.

Questions about this position should be directed to Ed Moran, Securities Examiner-in-Charge at (207) 624-8548 or Edward.Moran@maine.gov.