

State of Alabama
Personnel Department
64 North Union Street
P. O. Box 304100
Montgomery, AL 36130-4100
Phone: (334) 242-3389
Fax: (334) 242-1110
www.personnel.alabama.gov

Continuous Announcement

SECURITIES ANALYST, SENIOR – 11286

Salary: \$45,532.80 - \$69,014.40

Announcement Date: August 23, 2006

Revised Date: October 2, 2019

JOB INFORMATION

Securities Analyst, Senior is a permanent, full-time position with the Alabama Securities Commission. Positions are located in Montgomery. This is highly specialized work relating to the registration/licensing and examination of securities, broker/dealers, and investment advisers.

MINIMUM REQUIREMENTS

- Bachelor's degree from an accredited* four-year college or university with a major in business administration, accounting, or finance; and two years of experience in any of the following areas: examining or preparing balance sheets, income statements, or other financial reports; reviewing of offering circulars and prospectuses for public or private issues of securities; preparation of federal and state corporate income tax returns; or reviewing of disclosure statements in connection with corporate mergers, acquisitions, and tender offers.

OR

- A Bachelor's degree from an accredited* college or university in any major, and two years of experience with a securities regulatory agency analyzing securities issues, financial auditing, and/or broker/dealer operations.

OR

- A Bachelor's degree from an accredited* college or university in any major, and two years experience in the financial industry to include securities compliance, securities operations, developing and implementing investment plans, or auditing of broker/dealers or investment advisors.

NOTES

- This job will require extensive overnight travel.
- A valid driver license is required.
- Trainee work experience will not count as qualifying experience.

EXAMINATION

- **Open-Competitive** to all applicants.
- A **Work Simulation Exercise** will comprise 100% of the final score for the open-competitive register.

HOW TO APPLY

- Complete an Application for Examination Form available at www.personnel.alabama.gov, the above address, or any Alabama Career Center Office.
- Apply on-line, by mail, or by fax. *Applications will be accepted until further notice.* The State Personnel Department is not responsible for late receipt of applications due to mail service or faxing malfunctions.

THE STATE OF ALABAMA IS AN EQUAL OPPORTUNITY EMPLOYER

*Please refer to the back of this announcement for complete information on State Personnel's policy for accepting post-secondary and advanced degrees.

Revised

Except for pretest information provided by State Personnel to all applicants, you should not directly or indirectly obtain information about examinations. If you do, the State Personnel Director may do several things. One, you may not be given an examination. Two, you may be disqualified after an examination. Three, your name may be removed from a register. Or four, your name may not be certified from the register. (Rules of the State Personnel Board, Chapter 670-x-9). According to the Code of Alabama, 36-26-47, a willful violation of exam security is a misdemeanor. Any person who is convicted of this type of misdemeanor will be ineligible for appointment to or employment in a position in State service for a period of five years and, if the person is an officer or employee of the State, will forfeit his or her office or position.

If you know of anyone who has violated this policy, you should contact the Examination Manager at the State Personnel Department.

Applicants hired by the State of Alabama on or after January 1, 2012 will be subject to the E-Verify process pursuant to Act No. 2011-535.

**State of Alabama Personnel Department
Policy on Accepting College Coursework, Post-Secondary and Advanced Degrees**

1. Specific college coursework required for a job, as well as Bachelor's, graduate, post graduate, and doctoral degrees will be accepted from the schools accredited by any of the six regional accreditation associations in the United States listed below:
 - Southern Association of Colleges and Schools (SACS)
 - Middle States Commission on Higher Education (MSCHE)
 - Northwest Commission on Colleges and Universities (NWCCU)
 - Higher Learning Commission (HLC)
 - New England Commission of Higher Education (NECHE)
 - Western Association of Schools and Colleges –Senior College and University Commission (WASC-SCUC)
2. Coursework or degrees from schools that have not been accredited by one of the above listed regional accreditation associations may be accepted if a *regionally accredited school** considers the coursework or degree to be an acceptable prerequisite for admission to an advanced degree program. For example, if a regionally accredited school accepts an applicant's bachelor's degree for admittance into a graduate degree program, State Personnel will accept the degree. In the case of required college coursework (but no degree requirement), State Personnel will accept the college coursework if a regionally accredited school accepts the coursework towards a post-secondary degree (e.g., a bachelor's degree). **This must be documented by a letter of acceptance from the regionally accredited school.** State Personnel will review such requests on a case-by-case basis.

Note: This policy is subject to change. Certain state agencies may have additional requirements.

*The term "regionally accredited school" refers to an institution of higher education accredited by one of the above listed accreditation associations.