NC Department of the Secretary of State

**Securities Division**

## *Job Posting*

## *Financial Investigator*

**- REPOST -**

* Position Number: 65024360
* Salary Grade/Range: GN13
* Salary Range: $48,051 - $81,686
* Recruitment Range: $48,051 - $56,375
* Type of Appointment: Permanent Full-Time
* Location: Wake
* Closing Date:
* Numbers of Positions: -1-

**\*\*\*\*\*The Recruitment Range for this position is $48,051 - $56,375. \*\*\*\*\***

**\*\*\* THIS IS A NON-SWORN FINANCIAL INVESTIGATOR POSITION \*\*\***

**\*\*\* INTERNAL FOR STATE EMPLOYEES ONLY \*\*\***

# Description of Work : This position will be responsible for the detection, investigation and enforcement activities related to violations of the regulatory provisions of the North Carolina Securities Act, the Commodities Act, and the North Carolina Investment Advisers Act. This position will conduct a wide variety of case investigations which have been initiated by the enforcement staff or identified and referred to the section by individual consumers, state and federal securities regulatory agencies and securities and commodities industry self-regulatory agencies.

The position will complete written reports of investigation; conduct financial analysis and evaluation of accounting records and specialized transactional records employed by the securities industry. This position requires knowledge of and ability to use investigative procedures and techniques, including interviews, obtaining and evaluating documentary evidence, preservation of evidence, and testimonial presentation of evidence before judicial tribunals. The position will determine jurisdictional basis, conduct interviews, collect additional documentary evidence from public sources or through legal process, perform financial analyses, analyze collected data, report on investigative activities, participate in sanctioning of violations and conduct audits of securities brokerage firms, individual brokers and investment advisers in order to ensure compliance with the rules and regulations promulgated under the Securities Act and Investment Advisers Act.

**Knowledge, Skills, and Abilities:** This position requires the ability to conduct routine and for-cause investigations of financial or business violations of regulatory requirements. The position requires knowledge of investigative techniques and procedures, particularly those related to fraud and the preservation of documentary evidence. A general knowledge of and the ability to interpret and apply provisions of the Federal and North Carolina securities, investment adviser, and commodities laws and their related administrative regulations as well as a general knowledge of the regulatory system and practices applicable to the securities industry. This position should have a good knowledge of generally accepted accounting principles in order to properly identify and analyze financial records obtained during the course of an investigation. The position should have in depth knowledge of securities and commodities industries transactional accounting and operations procedures.

Exceptional written and oral skills are essential to performing the duties of the position. The position must be able to interview individuals with skill, subtlety and professional demeanor in order to elicit useful information, inconsistencies and admissions. Memoranda of interview and written summaries of other contacts during the course of an investigation must be written with accuracy, clarity and completeness. The position should clearly and concisely convey verbal or written communication.

Management prefers experience in the securities industry and/or securities regulatory knowledge and familiarity.

**A North Carolina driver’s license or ability to obtain one is required.**

**Training and Education Requirements:**

Bachelor’s degree in accounting, finance, business administration, or criminal justice with 18 credit hours of accounting coursework ora bachelor’s degree preferably in accounting, finance, business administration, or criminal justice andtwo years of experience auditing or investigating white-collar, financial crimes; orequivalent combination of training and experience. A combination of working knowledge of accounting and financial laws anda background in financial regulation or investigations is preferred. All degrees must be received from appropriately accredited institutions**.**

**How to Apply:** Applications are now being accepted on-line. Visit <http://www.osp.state.nc.us/jobs/> to search for jobs and to apply on-line. Agency point-of-contact is Talicia Morgan at [tymorgan@sosnc.](mailto:mdaniels@sosnc.)gov or telephone (919) 814-5332.

All relevant experience must be included on application to receive proper credit. ”SEE ATTACHED RESUME” WILL RESULT IN AN INCOMPLETE APPLICATION. “TEXT RESUMES” WILL NOT BE EVALUATED AS CREDITABLE EXPERIENCE. To receive credit, all experience must be included in the work history sections. Any information omitted from the application but included in the resume will not be considered for qualifying credit. Please upload copy of college transcript (if applicable) or submit to address noted below by 5:00 p.m. on closing date to be considered. Persons eligible for veteran preference must submit a copy of Form DD-214. The Department of the Secretary of State uses the Merit-Based Recruitment and Selection Plan to fill positions subject to the State Personnel Act with the most qualified applicants. When a salary range is posted, the actual salary will be based on relevant competencies, knowledge, skills and abilities, internal equity and budgetary considerations pertinent to the advertised position. All post-high school degrees must be from appropriately accredited institutions.

The North Carolina Department of the Secretary of State is an Equal Opportunity Employer.

Mailing address is:

NC Dept of the Secretary of State

Attn: Human Resources

PO Box 29622

Raleigh, NC 27626-0622.