

U.S. Securities and Exchange Commission

SECURITIES COMPLIANCE EXAMINER

OVERVIEW

Open & closing dates

06/04/2019 to 07/02/2019

Pay scale & grade

SK 12 - 14

Salary

\$89,002 to \$212,478 per year

Appointment type

Permanent

Work schedule

Full-Time

Locations

1 vacancy in the following locations:

Los Angeles, CA
San Francisco, CA
Washington, DC
Atlanta, GA
New York, NY
Philadelphia, PA

SUMMARY

The Office of Compliance Inspections and Examinations (OCIE) administers the SEC's nationwide examination and inspection program for registered self-regulatory organizations, broker-dealers, transfer agents, clearing agencies, municipal advisers, investment companies, and investment advisers.

RESPONSIBILITIES

OCIE's Office of Investment Advisers and Investment Companies (IA/IC) is seeking to fill one Securities Compliance Examiner in one of the following locations: Atlanta, GA; Los

Angeles, CA; New York, NY, Philadelphia, PA; San Francisco, CA or Washington, DC.

Salary Ranges:

- **Atlanta, GA:**
 - SK-12: \$89,002 - \$146,377
 - SK-13: \$105,841 - \$174,058
 - SK-14: \$121,532 - \$199,859
- **Los Angeles, CA:**
 - SK-12: \$96,194 - \$158,206
 - SK-13: \$114,395 - \$188,124
 - SK-14: \$131,353 - \$216,010
- **New York, NY:**
 - SK-12: \$97,357 - \$160,119
 - SK-13: \$115,778 - \$190,400
 - SK-14: \$132,942 - \$218,623
- **Philadelphia, PA:**
 - SK-12: \$91,680 - \$150,781
 - SK-13: \$109,026 - \$179,296
 - SK-14: \$125,188 - \$205,873
- **San Francisco, CA**
 - SK-12: \$102,691 - \$168,892
 - SK-13: \$122,121 - \$200,831
 - SK-14: \$140,225 - \$230,601
- **Washington, DC**
 - SK-12: \$94,621 - \$155,619
 - SK-13: \$112,524 - \$185,048
 - SK-14: \$129,205 - \$212,478

If selected, you will be responsible for supporting OCIE's mission to conduct and coordinate the nationwide examination program for entities over which the Commission has regulatory authority.

Typical Duties Include:

- Providing technical assistance and support for one or more of the Office of Compliance Inspections and Examinations program areas of emphasis such as self-regulatory organizations, broker-dealers, transfer agents, municipal advisers, municipal and government securities dealers, investment companies, investment advisers and clearing agencies -both clearing

- corporations and securities depositories- which are registered under the Securities Exchange Act of 1934;
- o Working as a member of a team or under the tutelage of higher-graded employees, provides securities compliance examination support for actions being undertaken by the SEC; and
 - o In a developmental capacity providing support for one or more of the Office of Compliance Inspections and Examinations program's examination, investigation and enforcement activities and operations such as reviewing financial statements, evaluating financial accounting systems, coordinating examinations with stock exchanges, reconstructing records, examining and analyzing "street intelligence," analyzing cash-management systems, reviewing investigatory complaints, investigating new financial products, examining specialized securities such as junk bonds, interviewing principals of registrants, analyzing performance calculations, analyzing risk, developing surveillance initiatives;

HOW TO APPLY

Please Join the SEC and apply here:

<https://go.usa.gov/xyxxG>

AGENCY POINT OF CONTACT

Cary Severt

Email

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