



**OFFICE OF THE
SECRETARY OF STATE**

September 23, 2019

CHIEF OF ENFORCEMENT

Unclassified Open Competitive

This is an open competitive recruitment, open to all qualified applicants. This position is appointed by and serves at the pleasure of the Secretary of State.

Position:

Under administrative direction of the Securities Administrator, Chief Deputy and the Secretary of State, the Chief of Enforcement plans, organizes, manages and coordinates the criminal and administrative enforcement activities of the Division, and the compliance/audit investigators who prepare civil actions and/or administrative actions for non-criminal violations of State laws governing securities and commodities

Major Duties/responsibilities of the position include:

- Prepare and review subpoenas and administrative orders to be issued by the Securities Administrator in connection with enforcement activities, and the activities of licensed entities and persons, prepare and assist in negotiating legally binding settlement agreements or consent orders on behalf of the division or at the request of the Securities Administrator or Secretary of State.
- Conduct administrative enforcement hearings before the Securities Administrator or other hearings officer.
- Manage the activities and operations of assigned projects and cases; maintain appropriate records and reports.
- Direct investigations into suspected violations of securities and commodities laws or regulations; review and analyze the adequacy of evidence collected by criminal investigators or auditors and make recommendations to the Securities Administrator, Chief Deputy or Secretary of State as to what legal action should be taken.
- Assist Deputy Attorney General(s) assigned to the Securities Division in conducting legal research and drafting legal documents on behalf of the division.
- Prepare legal documents and submit to the Securities Administrator for final approval.

- Conduct legal research and analysis of areas in securities and commodities statutes, regulations and internal policies; draft revisions, proposals and legislation for the Securities Administrator's review; conduct legislative analysis/testimony as required.
- Perform related duties as assigned.

Education and Experience to Qualify:

Graduation from an accredited law school with a juris doctor degree, active license with the State Bar of Nevada, and at least three (3) years of legal experience in an investigatory or litigation setting. Experience with white collar crimes such as securities fraud, insurance and computer fraud, bankruptcy fraud, and various schemes such as pyramid, land, and mining fraud is extremely helpful.

Knowledge, Skills and Abilities:

- **Detailed knowledge of:** State and federal securities and commodities laws; legal procedure as applied to the preparation of legal documents and presenting cases; State and deferral securities and commodities laws.
- **Working knowledge of:** legal and administrative hearings procedures; investigative techniques; supervisory and training practices; financial and accounting principles; the securities industry including standards relating to registration, underwriting and corporation financing.
- **Ability to:** analyze financial documents and statements; identify violations of State and federal securities laws and conduct investigations; analyze sophisticated investment schemes, reconstruct events, and follow the funds; substantiate findings with appropriate evidence; prepare investigative reports; communicate effectively both orally and in writing.

Full Performance Knowledge, Skills and Abilities (typically acquired on the job)

- Nevada Uniform Securities Act and Commodities Code; Nevada Administrative Procedures Act; agency rules, regulations, policies and procedures; State Administrative Manual and State personnel administration rules; Nevada Uniform Athletes' Agents Act.

Approximate Annual Salary:

Up to \$109,860.00 on Employee/Employer retirement plan, plus benefits. **Salary range reflects retirement (PERS) contributions by both the employee and employer. An employer paid contribution plan is also available with a reduced gross salary.*

Benefits:

The state benefits package includes a retirement system; paid health, vision, dental, life, and disability insurance; 11 paid holidays; and paid sick and annual leave. Other employee paid benefits such as deferred compensation plans are available.

Position Location: Las Vegas, Nevada

Special Requirements: A State of Nevada/FBI background check and fingerprinting will be required of the selected applicant.

Letters of interest and Resumes will be accepted until the position is filled.

(Please note that all letters of interest and resumes will be accepted on a first-come, first-served basis. Hiring may occur at any time during the recruitment process.)

Submit Letters of Interest/Resumes/Direct inquiries to:

Email to: wgetz@sos.nv.gov

Or hard copies can be mailed to:

Office of the Secretary of State

Attn: Human Resources

101 North Carson Street, Suite 3

Carson City, NV 89701

(775) 684-5716

In the subject line, please reference: **Chief of Enforcement**

The State of Nevada is an Equal Opportunity Employer.