



STATE OF NEVADA
Department of Administration
Division of Human Resource Management

CLASS SPECIFICATION

<u>TITLE</u>	<u>GRADE</u>	<u>EEO-4</u>	<u>CODE</u>
SECURITIES REGISTRATION & LICENSING EXAMINER	39	B	7.186

Under administrative direction, the Securities Registration and Licensing Examiner manages the activities and operations of the Securities Division, Registration and Licensing Sections, and reviews, investigates and analyzes securities offerings and registration and licensing applications to ensure compliance with federal and State securities and commodities laws and regulations.

Respond to inquiries regarding Nevada securities registration and licensing statutes and securities offerings; provide assistance to securities issuer representatives covering securities offering approvals, denials, and other related registration matters.

Review registration and licensing applications; provide assistance to broker-dealers, sales representatives, investment advisers, representatives of investment advisers and transfer agents regarding the approvals, denials, and other related licensing matters.

Analyze company prospectuses with respect to the company's background and history, to include review of securities offering materials company officers, directors, financial statements, appraisals of corporate property, underwriting contracts, and articles of incorporation.

Investigate possible violations of securities law, prepare reports, notices and other documents as required and needed.

When appropriate, consult and work with securities division legal counsel in conducting legal research, subpoena preparation, drafting of legal documents, and approving or denying certain securities registration offerings.

Research and prepare legal briefs and no action letters regarding the application of State securities and commodity laws.

Present cases and matters dealing with licensing or registration to the Administrator; and once properly licensed, appear before appropriate governing bodies and/or a court of law to provide testimony as required on behalf of the Securities Division.

Direct the processing of requests for exemptions from registration while ensuring the proper application of rules and regulations.

Supervise the duties and performance of clerical staff to include delegation of work assignments, performance evaluations, staff appraisal interviews and training requests and approvals.

Perform related duties as assigned.

MINIMUM QUALIFICATIONS**SPECIAL REQUIREMENT:**

- * A valid driver's license or evidence of equivalent mobility is required at the time of appointment and as a condition of continuing employment.

INFORMATIONAL NOTES:

- * Incumbents not in possession of an active State Bar of Nevada License at the time of appointment will be required to submit an application and be qualified pursuant to Supreme Court Rule 49.10 regarding the limited practice of attorneys employed in government or as in-house counsel.
- * As a condition of continuing employment, the incumbent must maintain either a State Bar of Nevada License or a certification by the State Bar of Nevada under Supreme Court Rule 49.10.

EDUCATION AND EXPERIENCE: Graduation from an accredited law school and a total of two years of experience in the securities field involving interaction with the public in either securities investigation, analysis, issuance, sales, licensing, or experience in a closely related field; **OR** an equivalent combination of education and experience as described above. (*See Special Requirement and Informational Notes*)

ENTRY LEVEL KNOWLEDGE, SKILLS, AND ABILITIES (required at time of application):

Working knowledge of: accounting principles and practices sufficient to analyze corporate financial statements; legal documents, terminology and procedures relating to securities registrations and licensing. **Skill in:** the preparation of legal briefs; investigating and researching legal questions and possible violations of law and the preparation of various legal documents including subpoenas, reports and opinions; written English sufficient to compose business correspondence and reports; mathematical computation to effectively calculate offering features such as insider capitalization and shareholder dilution.

FULL PERFORMANCE KNOWLEDGE, SKILLS, AND ABILITIES (typically acquired on the job):

Detailed knowledge of: federal and State rules, regulations, and laws regarding the registration and offerings of securities.

This class specification is used for classification, recruitment, and examination purposes. It is not to be considered a substitute for work performance standards for positions assigned to this series.

7.186

ESTABLISHED: 9/22/89PC
 REVISED: 7/1/91P
 10/19/90PC
 REVISED: 7/1/93P
 9/24/92PC
 REVISED 2/27/09PC
 REVISED: 4/4/13UC