



OFFICE OF THE ATTORNEY GENERAL

200 St. Paul Place

Baltimore, Maryland 21202

www.marylandattorneygeneral.gov

JOB ANNOUNCEMENT

**(3) Assistant Attorneys General VI
Securities Division**

Posting Date: June 26, 2024

Closing Date: July 28, 2024

Job Title: (3) Regulatory Assistant Attorneys General VI

Position Type: Regular Full-Time

Salary: \$95,991 - \$154,928. The salary range is based on a multitude of factors including applicable personnel rules, regulations, and guidelines.

Location: Office of the Attorney General, Securities Division
200 Saint Paul Place Baltimore, MD 21202

Telework: A hybrid remote telework and in-office schedule option is available per applicable policies and procedures.

DESCRIPTION: The Attorney General is the chief legal officer of the State of Maryland. The Office of the Attorney General (OAG) has the general charge, supervision, and direction of the State's legal business, acting as legal advisors and representatives of the major agencies, various boards, commissions, officials, and institutions of State Government. The OAG also protects the public by civil enforcement of antitrust, civil rights, consumer protection, and securities laws and regulations and by the prosecution of organized crime, Medicaid fraud, environmental crimes, insurance fraud, state tax evasion, and other statutorily assigned matters. As Maryland's 47th Attorney General, Anthony G. Brown leads the Office with a critical focus on equity, justice, and fairness.

The OAG Securities Division is looking for talented, hardworking individuals who are interested in being a part of a robust Division that protects investors, interacts with regulated entities, and collaborates with our state and federal counterparts.

The OAG's Securities Division is now seeking applicants to fill three regulatory Assistant Attorney General (AAG) positions, one each in the Investment Adviser/Broker-Dealer, Corporation Finance, and Franchise units. Each Assistant Attorney General will work primarily in either the Investment Adviser/Broker-Dealer Unit, the Corporation Finance Unit, or the Franchise Unit of the Securities Division and will work with other examiners and attorneys in their assigned unit as well as with other attorneys and investigators in the Securities Division. The positions are responsible for reviewing and analyzing registration, exemption, and preemption applications, as applicable by unit, of investment advisers and broker dealers, securities offerings under the Maryland Securities Act, and/or franchises under the Maryland Franchise Registration and Disclosure Law; drafting correspondence

to applicants or registrants; outlining deficiencies in applications or amendment filings and requesting additional information; responding to inquiries from applicants, registrants, their counsel and the public; reviewing federal and state application forms and financial documents; using the Division computer systems and the Central Registration Depository (CRD), the Investment Adviser Registration Depository (IARD), the Electronic Filing Depository (EFD), the Franchise Registration Depository (FRED), and EDGAR, among others, to review available information concerning applicants.

Other duties may include providing legal advice to Division staff; resolving investor complaints; conducting investigations; researching legal issues; writing briefs, opinions, motions and memoranda in proceedings filed in court and at the Office of Administrative Hearings under the Maryland Securities Act, the Maryland Franchise Registration and Disclosure Law and other investor protection laws administered by the Division; interpreting and reviewing laws under the Maryland Securities Act, the Maryland Franchise Registration and Disclosure Law, other investor protection laws, and related Division regulations; consulting with and assisting Assistant Attorneys General in the preparation of cases filed by the Securities Division; drafting proposed regulations and legislation for the Division; and other related duties.

EXPERIENCE: The ideal candidate will have at least 5 years of legal experience, with a focus on areas relevant to this position, specifically experience with securities, franchise, financial, regulatory, transactional or administrative law, accounting or finance. The ideal candidate will have a passion for investor protection, along with excellent legal research, writing, advocacy skills. Maryland Bar membership, or the eligibility to waive in immediately, is required.

SUBMISSION: Interested persons should electronically submit their resumes in PDF form to Melanie Lubin, Maryland Securities Commissioner, at mlubin@oag.state.md.us with a cc to Mary-Louise Stanczyk, Office Manager, at mstanczyk@oag.state.md.us by the close of business on Sunday, July 28, 2024. **Please write "Securities Regulatory AAG" in the subject line of the email.** Applicants who are subsequently invited for an interview will also be asked for references and a writing sample.

EMPLOYMENT BENEFITS: The successful candidate will be eligible for subsidized health benefits (medical, prescription, dental and vision coverage) and life insurance; leave, including annual (vacation), personal, sick, and paid parental leave; and will be eligible for participation in a contributory defined benefit pension plan in which they are vested after ten years. State employees are eligible to participate in two supplemental retirement plans: the 457 Deferred Compensation Plan and the 401(k) Savings and Investment Plan. The State also offers a free mass transit benefit for local bus and express bus services.

EQUAL OPPORTUNITY EMPLOYER: The OAG is an equal opportunity employer that encourages all interested persons to apply regardless of race, color, religion or belief, ancestry, national origin, age, marital status, sexual orientation, gender identity and/or expression, disability, pregnancy, family or parental status, veteran status, genetic information, or any protected category prohibited by local, state or federal laws.

COMMITMENT TO DIVERSITY, EQUITY, INCLUSION, AND BELONGING: The Office of the Attorney General views equity, diversity, inclusion, and belonging as the pathway to achieving professional excellence and fostering and maintaining a culture where every employee can thrive. We strive to create a community that draws upon the best pool of talent to unify excellence and diversity while fully embracing individuals from varied backgrounds, cultures, races, identities, life experiences, perspectives, beliefs, and values. We honor, respect, and celebrate all differences, both visible and invisible, and are committed to recruiting, retaining, and promoting individuals who have historically been underrepresented in the practice of law and professional careers.