



OFFICE OF THE ATTORNEY GENERAL
200 St. Paul Place
Baltimore, Maryland 21202
www.marylandattorneygeneral.gov

JOB ANNOUNCEMENT
Examiner (Administrator I)
Securities Division

Posting Date: June 26, 2024 **Closing Date:** July 11, 2024

Job Title: Examiner **Position Type:** Regular Full-Time

Salary: \$60,987- \$98,313. The salary range is based on a multitude of factors, including applicable personnel rules, regulations, and guidelines.

Location: Office of the Attorney General, 200 St. Paul Place, Baltimore, Maryland 21202

Telework Status: 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 Administrator I will function as an Examiner for the Securities Division of the Office of the Attorney General. The Examiner will work primarily in the Investment Adviser/Broker-Dealer Unit, although they may be required to work with other Units within the Division.

Job duties include: conducting routine, on-site inspections of investment adviser and broker-dealer firms to include conducting interviews of registrants, reviewing and analyzing registrants' financial and non-financial books and records, drafting correspondence to registrants outlining deficiencies found during on-site inspections, and performing any necessary follow-up; reviewing and analyzing initial and renewal registration applications and amendment filings for investment advisers and their representatives and broker-dealers and their agents; drafting correspondence to applicants outlining deficiencies in registration applications and requesting additional information; drafting pleadings related to administrative actions involving registration; responding to inquiries from applicants, registrants, their counsel and the public, including providing

application status reports; reviewing federal and state application forms and financial documents; using the Division computer systems and the Central Registration Depository (CRD), Investment Adviser Registration Depository (IARD) and Electronic Filing Depository (EFD) to review available information concerning applicants, registrants, and filings; reviewing and analyzing filings for franchise and securities offerings under the Maryland Franchise Law and Maryland Securities Act.

Other duties include consulting with Assistant Attorneys General in the Division on matters of policy and legal interpretation and assisting the Assistant Attorneys General with disciplinary and enforcement proceedings; supervising secretary and registration assistant in conjunction with other examiners and Assistant Attorneys General; being available to perform examiner functions in different units as the need arises.

EDUCATION/EXPERIENCE:

Education: Bachelor's degree from an accredited four-year college or university.

Experience: Three years of financial services work experience.

Preferred Qualifications:

1. Background in law, accounting, finance, economics, investment advice, securities, financial planning, insurance, or law enforcement.
2. Experience working with and/or reviewing the books and records of investment advisers, broker-dealers, or other financial professionals.

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.

SUBMISSION: Interested persons should submit a resume, on-line application, and supplemental questionnaire through the Department of Budget and Management, at [Maryland State Online Employment Center](#) by July 11, 2024.

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.