

NEBRASKA DEPARTMENT OF BANKING & FINANCE

Position Opening: Securities Analyst II

The Nebraska Department of Banking & Finance has a permanent full-time opening for the position of Securities Analyst II. This position is covered by the Labor Contract between the State of Nebraska and NAPE/AFSCME, and has a non-exempt status. If you are interested in applying for this position, you must complete a State of Nebraska application form. To apply online, log on to <http://statejobs.nebraska.gov>. If you have questions, please contact State Personnel at 402/471-2075, or send an email to state.jobs@nebraska.gov.

Class Title: Securities Analyst II

Salary: \$22.345 hourly

Closing Date: 11/14/2016

The Nebraska Department of Banking and Finance-Bureau of Securities regulates the offer and sale of securities to Nebraska residents. This is accomplished using a variety of regulatory and enforcements tools, including registration requirements for securities, franchise and business opportunity offerings, and registration and examination of broker-dealers, and investment advisers. The Bureau of Securities works directly with the entities it regulates and responds to customer complaints, undertakes investigations based upon complaints, and initiates appropriate administrative, civil, and criminal cases. For more information about the Nebraska Department of Banking and Finance, please visit our website at www.ndbf.ne.gov.

Essential Duties:

Registration of corporate offerings, real estate investment trusts, real estate limited partnerships, equipment leasing limited partnerships, and other securities required to be registered. Review securities offerings for compliance with Securities Act of Nebraska and the rules, regulations, and guidelines of the department. Prepare comment letters and respond to inquiries from the issuer and their legal counsel. Participate in coordinated review process. Examination of Securities Exchange Commission (SEC) registration statements and related notice filings so as to determine if proposed offerings are in accordance with the Securities Act of Nebraska. Review mutual fund notice filings for any deficiencies. Review documents submitted pursuant to the Seller Assisted Marketing Plan Act to determine compliance with state and federal disclosure requirements. Review documents submitted pursuant to the Nebraska Loan Broker Act. Investigate possible violations of the Securities Act of Nebraska, the Nebraska Loan Broker Act, and the Seller Assisted Marketing Plan Act; conduct interviews of investors and other interested persons; subpoena financial records; analyze evidence obtained; recommend enforcement action. Respond to inquiries from victims and the general public. Driving on an occasional basis. Various other duties as assigned.

Qualifications/Requirements:

REQUIRED: Bachelor's or graduate degree from an accredited college or university in business administration, finance, accounting, or economics and at least one year of experience in investigations or analysis.

PREFERRED: A bachelor's degree with an emphasis in finance/accounting. Securities background preferred. Law degree or advanced degree in finance or business preferred, but not required.

OTHER: Experience in investigative techniques helpful. Must possess a valid driver's license and evidence of vehicle insurance, or the ability to provide independent authorized transportation.

Knowledge, Skills and Abilities:

Knowledge of securities theory and practice; accounting and financial analysis. Working knowledge of MS Word and Excel. Ability to work with department database systems. Ability to analyze a prospectus to determine its adequacy in disclosure to investors and compliance with applicable laws and rules. Ability to deal effectively with personnel, issuers, legal counsel, other regulators and the general public; recognize pertinent resources in order to pursue an investigation to a conclusion; communicate effectively both orally and in writing; analyze and appraise all types of securities. Must be able to meet deadlines, work with limited supervision, and work as part of a team.