



KANSAS INSURANCE DEPARTMENT

Jeffery S. Wagaman, Securities Commissioner
Office of the Securities Commissioner,
a division of the Kansas Insurance Department

Vicki Schmidt, Commissioner

Announcement of Vacant Position Internal – External

Posting Date: June 8, 2020
Job Vacancy: Special Agent
Division: Securities
Req. No: 196758
Compensation Rate: \$52,000 entry level or commensurate with experience
Position Type: Unclassified, Regular, Full-Time, Non-Exempt, Benefit's Eligible
Closing Date: **June 22, 2020**
Contact: Ms. Dale Hubbell - dale.hubbell@ks.gov or 785-291-3801

Job Description:

The Office of the Kansas Securities Commissioner, a division of the Kansas Insurance Department, is recruiting for a Special Agent position (fulltime, certified law enforcement officer is preferred, but not required). The Special Agent will conduct investigations of securities fraud and sale of unregistered securities covered by the Kansas Uniform Securities Act, and similar violations associated with the Kansas Loan Brokers Act. These investigations are both advanced and technical and may involve regulatory requirements for broker dealers and/or investment advisers. This position necessitates the ability to comprehend basic accounting principles and practices, corporate law and finance, state securities laws, rules and regulations, and securities industry standards and ethics codes. An investigation may result in an administrative proceeding, and/or a criminal proceeding involving felony charges and potential incarceration in a state penitentiary.

Primary Duties (*Not All Inclusive*):

The Special Agent's duties will be dedicated to conducting interviews of victims, witnesses and suspects of alleged securities or loan broker violations. Successful performance requires communication and interpersonal skills to interview, negotiate or gain cooperation of persons with diverse and conflicting interests.

The Special Agent will:

- Obtain, organize, and maintain integrity of evidence. Development of evidence requires seasoned judgment and advanced analytical skill.
- Analyze a variety of financial and legal records and documents to evaluate operational and financial condition of entities and the propriety or deficiency of disclosures in prospectuses or other documents in relation to requirements of state and federal securities laws and regulations.

- Prepare written reports of interviews, investigative operations, financial worksheets, administrative orders, administrative subpoenas, affidavits for arrest warrants and search warrants.
- For certified law enforcement officers: Execute arrest warrants, search warrants, serves process, conducts surveillance of suspected persons or operations and cooperates with other local, state and federal regulatory and law enforcement agencies.

Additional Duties:

- Serve as a resource for other staff members by providing guidance and instruction during investigations or compliance examinations.
- Answers inquiries involving technical or complex issues from the public, representatives of regulated firms and other regulators, and performs research, if necessary, to address such inquiries.
- Performs duties as assigned by the Director of Compliance and Enforcement, or Chief of Enforcement, to accomplish agency objectives.

Minimum Requirements:

- Bachelor's degree in criminal justice, law, accounting, finance, business administration or a closely related field as deemed equivalent by agency administrators; Certified law enforcement, investigative or auditing experience may be substituted for a bachelor's degree if deemed equivalent by agency administrators;
- One year of experience working in the securities industry or in a regulatory environment is preferred; Professional experience or credentials may be considered to substitute for securities or regulatory experience if deemed equivalent by agency administrators;
- Valid driver's license;
- Ability to pass a KBI background check; and
- Ability to obtain and submit a Kansas Tax Clearance Certificate (see information below).

Preferred Requirements:

- Kansas Certified Law Enforcement Officer
- Certified Fraud Examiner
- Three years of experience in conducting investigations or auditing work

Travel: In-state travel will be required, and some limited out-of-state travel may be necessary. Applicant must therefore have a valid driver's license.

Other Requirements:

- Professional demeanor
- Excellent organizational, scheduling, and prioritization skills
- Ability to manage multiple assignments, meet deadlines, work independently, and implement instructions given by senior staff member
- Maintain high level of confidentiality, ethics, and integrity
- Superior writing and communication skills with the ability to communicate well with individuals from various backgrounds
- Proficient in Microsoft Word, Excel, and PowerPoint
- As a condition of employment, candidates are subject to a pre-employment screening process to include name-based criminal history records check and reference/background check of past and present employers

How To Apply:

Step 1: Create an Account at the State of Kansas Careers website at:

<https://admin.ks.gov/services/state-employment-center/sec-home>

Step 2: Once you have created an account, complete the online State of Kansas application form and upload the other required documents.

- Kansas Tax Clearance Certificate
- Resume
- Cover letter
- Photo copy of valid driver's license; and
- Veterans' Preference K.S.A. 73-201(c) Form and DD-214, if applicable

Recruiter Contact: Ms. Dale Hubbell

Phone: 785-291-3801

Fax: 785-296-8848

Email: dale.hubbell@ks.gov

What to Expect Next:

Your application will be reviewed and we will evaluate your qualifications based on the materials that you submit. Therefore, the materials that you submit must be complete and fully discuss how you meet the minimum, other, and preferred qualifications, if applicable. After your application is evaluated, you may be contacted for further information or to schedule an interview.

KANSAS TAX CLEARANCE CERTIFICATE REQUIRED: Each applicant applying for a State of Kansas job vacancy must obtain a valid and up to date Kansas Certificate of Tax Clearance by accessing the Kansas Department of Revenue's website at <http://www.ksrevenue.org/taxclearance.html>. A Tax Clearance is a comprehensive tax account review to determine and ensure that an individual's account is compliant with all primary Kansas Tax Laws. A Tax Clearance expires every 90 days. **All applicants,**

including current State employees, are responsible for submitting a valid and up to date certificate with all other application materials to the hiring agency. This is in accordance with Executive Order 2004-03. If you need assistance with the tax clearance, please contact 785-296-3199.

Veteran’s Preference Eligible (VPE):

Former military personnel or their spouse that have been verified as a “veteran” according to K.S.A. 73-201, will receive an interview if they meet the minimum competency factors of the position. The veterans’ preference laws do not guarantee the veteran a job. Positions are filled with the best qualified candidate as determined by the hiring manager. Additional VPE information can be found at <http://da.ks.gov/ps/aaa/recruitment/veterans.htm>. DD Form 214, Certificate of Discharge or Separation from Active Duty, or other official documents (to include military discharge papers, or equivalent certification from the VA listing military status, dates of service, and discharge type) issued by the branch of service are required as verification of eligibility for veterans’ preference.

If you have questions, please do not hesitate to contact us at 785-291-3801

Individuals with disabilities are encouraged to contact the Recruiter if reasonable accommodations are needed for any part of the application or hiring process.

The Kansas Insurance Department is an Equal Opportunity Employer.