



U.S. Securities & Exchange Commission Attorney-Advisor Vacancies

The mission of the U.S. Securities and Exchange Commission (SEC) is to protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation. This job posting is for an attorney-adviser working in the SEC's Denver, Chicago, Philadelphia, and San Francisco Regional Offices as a member of the Investment Adviser/Investment Company Examination Program with the SEC's Office of Compliance Inspections and Examinations (OCIE). As part of a team, the employee will conduct examinations of registered investment advisers, investment companies, and transfer agents to assess compliance with applicable securities laws and regulations.

Office of Compliance Inspections and Examinations:

OCIE protects investors through administering the SEC's nationwide examination and inspection program. Examiners in Washington, DC and in the Commission's 11 regional offices conduct examinations of the nation's registered entities, including broker-dealers, transfer agents, investment advisers, investment companies, private funds, the national securities exchanges, clearing agencies, the nationally recognized statistical rating organizations, the Financial Industry Regulatory Authority ("FINRA"), the Municipal Securities Rulemaking Board, and the Public Company Accounting Oversight Board. OCIE's mission is to protect investors, ensure market integrity and support responsible capital formation through risk-focused strategies that: (1) improve compliance; (2) prevent fraud; (3) monitor risk; and (4) inform policy. The examination program plays a critical role in encouraging compliance within the securities industry, which in turn also helps to protect investors and the securities markets generally.

OCIE's Office of Investment Adviser/Investment Company:

The Office of Investment Adviser/Investment Company within OCIE is responsible for examining investment advisers, private funds, and mutual funds. Specific topics of examinations can include: portfolio management and trading, safety of assets, conflicts of interest and disclosures, marketing/performance, compliance, corporate governance, and other asset management priorities as identified by leadership. The Office also works with the policy divisions to get interpretive guidance and provide feedback on investment adviser, private fund, and mutual fund rules.

Duties:

- Participate as a member of an examination team in planning and conducting securities compliance examinations, developing reports of findings, and providing advice and recommendations for examinations of investment advisers, investment companies, and transfer agents.
- Conduct research on various laws/rules/regulations, notably the Investment Advisers Act of 1940 and the Investment Company Act of 1940; review and analyze a variety of

documents related to securities compliance examinations and market regulation; and develop recommendations to resolve problems or issues encountered in an assigned area of specialization or focus.

- Gather evidence to support preliminary findings of violations, and prepare reports of findings as well as correspondence to an entity outlining deficiencies and corrective actions to be taken.
- Review and assess corrective actions taken by registrants in response to examination findings to determine compliance with applicable rules and regulations, and make recommendations to supervisors regarding resolution of concerns.
- Work with senior examiners and attorneys in the writing of legal memoranda describing relevant law and factual bases to support referrals of examination findings to other divisions or offices.
- Work with senior examiners and attorneys engaged in developing and preparing guidance on a variety of complex issues arising from interpretation and application of statutes administered by the office.
- Facilitate conferences and interview a variety of company personnel concerning operational and examination issues to determine possible regulatory violations.
- Provide advice and technical support for examinations, investigations, and enforcement activities and operations.
- Represent the SEC in meetings with staff of other federal agencies and the securities industry, respond to inquiries concerning the work of the SEC, and maintain productive work relationships with federal and state agencies and the industry.

Minimum Qualifications:

SK-12:

Basic Requirements (For all grade levels):

- Candidate must possess a J.D. or LL.B. degree and be an active member of the bar in good standing in any state, territory of the United States, the District of Columbia, or the commonwealth of Puerto Rico.
- Candidate must be an active member of the bar in good standing in any state, territory of the United States, the District of Columbia, or the Commonwealth of Puerto Rico.

AND

Specialized Experience:

- Candidate must have at least one year post J.D. experience as a practicing attorney.

SK-13:

Specialized Experience:

- Candidate must have at least two years post J.D. experience as a practicing attorney which includes at least one year of specialized experience (1) providing interpretative advice on issues related to the rules and policies of Federal securities laws and acts; (2) conducting investigations of regulated entities and/or financial institutions operational activities; and (3) conducting briefings for management and/or representing the organization at briefings, meetings or conferences, conveying complex and technical information to address the concerns of the intended audience.

Salary:

Chicago: SK-12 \$88,823 - \$146,096
SK-13 \$105,638 - \$173,724

Denver: SK-12 \$86,957 - \$143,013
SK-13 \$103,409 - \$170,058

Philadelphia: SK-12 \$86,455 - \$142,187
SK-13 \$102,811 - \$169,075

San Francisco: SK-12 \$96,025 - \$157,927
SK-13 \$114,193 - \$187,792

Application Procedures:

- For Denver, please submit your resume and cover letter: DROResumeResponse@sec.gov
- For Chicago, please submit your resume and cover letter to: CHROResumeResponse@sec.gov
- For Philadelphia, please submit your resume and cover letter to: Philadelphia@sec.gov
- For San Francisco, please submit your resume and cover letter to: WalkerMI@sec.gov