



U.S. Securities & Exchange Commission Vacancy Announcement

Job Title	Senior Officer – Associate Director
Location	Washington, DC
Compensation	\$189,931 to \$251,765 / Per Year
Series & Grade	SO 1
Position Number	19-DE-10565371-DMQ
Application Deadline	August 13, 2019

Summary

The Office of Compliance Inspections and Examinations (OCIE) is seeking to fill the position of Associate Director in the Office of Investment Advisers and Investment Company Examinations (IA/IC). This position is located in Washington, DC.

Responsibilities

The Associate Director (OCIE) supervises and directs OCIE's Headquarter IA/IC Exam Program under the immediate supervision of the Deputy Director(s). The incumbent advises the OCIE Deputy Director(s) and/or the OCIE Director with regard to the National Examination Program priorities and strategies and examinations, particularly those of offshore registrants.

Typical duties include:

- Developing, conceiving, planning and implementing policies and guidelines affecting the risk assessment and examination of registrants.
- Implementing examination goals and addressing the impact of extraterritorial law and policy on implementation.
- Actively participating in meetings involving all aspects of OCIE's examination responsibilities.
- Overseeing and administering professional work involved in examinations; and providing advice and services with respect to questions, regulations, practices, or other matters falling within the purview of a Federal Government agency.
- Participating as a panelist on behalf of the OCIE and the Commission in collaborative law enforcement programs, bar association presentations, industry conferences and meetings, law school conferences held by similar groups and associations.
- Counseling senior management staff and officials at multiple levels of SEC; senior staff of other Federal, state, local and government agencies; and private sector clients and vendors on agency matters.

Qualifications

SO-01: Applicant must have at least one year of specialized experience equivalent to the GS/SK-14 level: (1) interpreting and applying the provisions of the Securities Act of 1933 and the Securities Exchange Act of 1934, the Investment Company Act of 1940 and the Investment Advisers Act of 1940; (2) providing guidance and evaluation on policy issues related to the federal securities laws; investigating possible violations of federal securities laws and regulations; (3) examining broker dealers, transfer agents, investment advisers or investment companies; and (4) managing a team or group that conducts examinations or audits of financial or securities firms.

To Apply

To learn more about this employment opportunity and to apply online, please visit <https://go.usa.gov/xyMhN>. For assistance, please contact the Office of Minority and Women Inclusion at (202) 551-6046 or omwi@sec.gov.

The SEC is an equal opportunity employer



U.S. Securities & Exchange Commission Vacancy Announcement

Job Title	Senior Officer – Associate Director
Location	Washington, DC
Compensation	\$189,931 to \$251,765 / Per Year
Series & Grade	SO 1
Position Number	19-EX-10565252-DMQ
Application Deadline	August 13, 2019

Summary

The Office of Compliance Inspections and Examinations (OCIE) is seeking to fill the position of Associate Director in the Office of Investment Advisers and Investment Company Examinations (IA/IC). This position is located in Washington, DC.

Responsibilities

The Associate Director (OCIE) supervises and directs OCIE's Headquarter IA/IC Exam Program under the immediate supervision of the Deputy Director(s). The incumbent advises the OCIE Deputy Director(s) and/or the OCIE Director with regard to the National Examination Program priorities and strategies and examinations, particularly those of offshore registrants.

Typical duties include:

- Developing, conceiving, planning and implementing policies and guidelines affecting the risk assessment and examination of registrants.
- Implementing examination goals and addressing the impact of extraterritorial law and policy on implementation.
- Actively participating in meetings involving all aspects of OCIE's examination responsibilities.
- Overseeing and administering professional work involved in examinations; and providing advice and services with respect to questions, regulations, practices, or other matters falling within the purview of a Federal Government agency.
- Participating as a panelist on behalf of the OCIE and the Commission in collaborative law enforcement programs, bar association presentations, industry conferences and meetings, law school conferences held by similar groups and associations.
- Counseling senior management staff and officials at multiple levels of SEC; senior staff of other Federal, state, local and government agencies; and private sector clients and vendors on agency matters.

Qualifications

J.D. or LL.B. degree --AND--
Active membership of the bar in good standing

SO-01: Applicant must have at least four years of post J.D. work experience as a practicing attorney that also includes at least three years of specialized experience: (1) interpreting and applying the provisions of the Securities Act of 1933 and the Securities Exchange Act of 1934, the Investment Company Act of 1940 and the Investment Advisers Act of 1940; (2) providing guidance and evaluation on policy issues related to the federal securities laws; investigating possible violations of federal securities laws and regulations; (3) examining broker dealers, transfer agents, investment advisers or investment companies; and (4) managing a team or group that conducts examinations or audits of financial or securities firms.

To Apply

To learn more about this employment opportunity and to apply online, please visit <https://go.usa.gov/xyeJh>. For assistance, please contact the Office of Minority and Women Inclusion at (202) 551-6046 or omwi@sec.gov.

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