

**POSITION DESCRIPTION IMPORTANT: PLEASE READ INSTRUCTIONS ON PAGES 2 and 3**

OSER-DMRS-11 (Rev. 03-06) State of Wisconsin Office of State Employment Relations	1. Position No. 033264	2. Cert / Reclass Request No.	3. Agency No. 144
4. NAME OF EMPLOYEE	5. DEPARTMENT, UNIT, WORK ADDRESS Division of Securities Department of Financial Institutions 201 West Washington Ave, Madison WI 53073		
6. CLASSIFICATION TITLE OF POSITION Securities Examiner	8. NAME AND CLASS OF FORMER INCUMBENT Judy Wilson                      Financial Examiner-Senior		
7. CLASS TITLE OPTION (to be filled out by Personnel Office)	10. NAME & CLASS OF EMPLOYEES PERFORMING SIMILAR DUTIES N/A		
9. AGENCY WORKING TITLE OF POSITION Securities Examiner - Entry	12. FROM APPROXIMATELY WHAT DATE HAS THE EMPLOYEE PERFORMED THE WORK DESCRIBED BELOW?		
11. NAME AND CLASS OF FIRST-LINE SUPERVISOR Deborah Fabritz              Admin Manager	13. DOES THIS POSITION SUPERVISE SUBORDINATE EMPLOYEES IN PERMANENT POSITIONS? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No IF YES, COMPLETE AND ATTACH A SUPERVISOR EXCLUSION ANALYSIS FORM (OSER-DMRS-84).		

14. POSITION SUMMARY \_ PLEASE DESCRIBE BELOW THE MAJOR GOALS OF THIS POSITION:  
See attached

15. DESCRIBE THE GOALS AND WORKER ACTIVITIES OF THIS POSITION (Please see sample format and instructions on Page 3.)

- \_\_\_ GOALS: Describe the major achievements, outputs, or results. List them in descending order of importance.
- \_\_\_ WORKER ACTIVITIES: Under each goal, list the worker activities performed to meet that goal.
- \_\_\_ TIME %: Include for goals and major worker activities.

TIME %	GOALS AND WORKER ACTIVITIES	(Continue on attached sheets)
	See Attached	

16. SUPERVISORY SECTION - TO BE COMPLETED BY THE FIRST LINE SUPERVISOR OF THIS POSITION (See Instructions on Page 2)

- a. The supervision, direction, and review given to the work of this position is  close [ ] limited [ ] general.
- b. The statements and time estimates above and on attachments accurately describe the work assigned to the position.  
(Please initial and date attachments.)

Signature of first-line supervisor \_\_\_\_\_ Date \_\_\_\_\_

17. EMPLOYEE SECTION - TO BE COMPLETED BY THE INCUMBENT OF THIS POSITION

I have read and understand that the statements and time estimates above and on attachments are a description of the functions assigned my position.  
(Please initial and date attachments.)

Signature of employee \_\_\_\_\_ Date \_\_\_\_\_

18. Signature of Personnel Manager \_\_\_\_\_ Date \_\_\_\_\_

DISTRIBUTE COPIES OF SIGNED FORM TO: P-FILE

OFFICE OF STATE EMPLOYMENT RELATIONS

EMPLOYEE

DEPARTMENT

CERT REQUEST COPY

## **Securities Examiner**

### **Position Description**

Under close progressing to limited supervision of the Bureau Director, this position: assists the Division in the protection of Wisconsin investors; administers provisions of the Wisconsin Uniform Securities Law, Chapter 551, Wis. Stats. relating to the issuance of initial and renewal of broker-dealer, agent, investment adviser and investment adviser representative registrations; conducts examinations of the records and business of registered securities firms to ensure compliance with the Wisconsin Uniform Securities Law; processes securities product registration applications and exemption filings; and investigates investor complaints against registered firms and individuals to determine if violations of the Wisconsin Uniform Securities Law have occurred and recommends administrative action where appropriate.

### **Goals and Worker Activities**

**25% A. Administer provisions of Ch. 551 Wis. Stats., relating to registration and regulation of broker-dealers, securities agents, investment advisers and investment adviser representatives.**

- A1. Examine and evaluate initial, renewal and amended registration applications for broker-dealers, securities agents, investment advisers and investment adviser representatives.
- A2. Review qualifications, training and experience of applicants. Analyze applicants' proposed plans of doing business.
- A3. Review and maintain application amendments, updating computer records as needed.
- A4. Communicate with registrants, applicants, securities industry members and regulatory agencies concerning laws and rules governing registrants.
- A5. At the direction of the Director, assist with investigations into the business practices of registered broker-dealers, securities agents, investment advisers and investment adviser representatives.
- A6. Assemble, analyze and summarize documents, financial records and other evidence and information obtained during investigations.
- A7. Determine extent of violations and make recommendations for their resolution or further action.

**25% B. Assure securities industry compliance with the Wisconsin Uniform Securities Law and fair business practices with the investors of Wisconsin.**

- B1. Participate in on-site and/or desk examinations of the records, supervisory procedures and systems, and securities transactions of registered broker-dealers and securities agents, investment advisers and investment adviser representatives.
- B2. Evaluate examination findings to identify operating deficiencies and/or securities law or rule violations.
- B3. Assist in preparing written examination analyses, reports and correspondence necessary to insure compliance and corrective action. Effectively recommend case closing or further investigations.
- B4. Assist with educational or outreach efforts directed toward registered investment advisers.

**20% C. Insure the viability of the investor education program and the resolution of investor complaints.**

- C1. Assist with the preparation and dissemination of investor education, through social media or other means of investor outreach.
- C2. Investigate and respond to inquiries and complaints from Wisconsin investors. Establish and maintain records of same.

**15% D. Process securities product registration and exemption filings.**

- D1. Review and approve filings submitted for securities product registration and/or exemptions from registration.
- D2. Update computer records of securities filings as needed.
- D3. Review and respond to inquiries relating to securities registration and exemptions from investors, securities professionals, and attorneys representing such persons.

**15% E. Other**

- E1. Assist with special projects or reports, as requested by the Director.
- E2. Participate in the development of policies and procedures consistent with the Wisconsin Uniform Securities Law.

**Knowledge and Skills**

Knowledge of Wisconsin Uniform Securities Law and federal securities laws

Understanding of securities industry terminology and practices

Prior securities industry experience preferred

Effective interviewing and investigatory techniques (including internet research)

Ability to establish and maintain effective internal and external working relationships

Proper use of grammar Syntax, usage and professional courtesies

Effective oral and written communication techniques

Basic use of spreadsheet, database and word processing techniques

Ability to exercise sound judgment in applying Division policies and procedures

Special Requirement: Must possess a valid WI driver's license

Department of Financial Institutions  
Division of Securities

Administrator  
PATRICIA STRUCK  
Unclassified  
Pos #924368  
FTE 100%

Professional Registration & Compliance Bureau  
Deborah Fabritz  
Admin Mgr - CE  
Pos #015975  
FTE 100%

Enforcement Bureau  
Leslie Van Buskirk  
Attorney Supv  
Pos #034315  
FTE 100%

Mark Eisenmann  
Sec Ex Adv  
Pos #058138  
FTE 100%

Andrew Parrish  
Attorney  
Pos #012365  
FTE 100%

Jennifer Acker  
Sec Ex - Jour  
Pos #036556  
FTE 100%

Scott Conwell  
Sec Ex Adv  
Pos #008998  
FTE 100%

Charles Benson  
Sec Ex - Jour  
Pos #031340  
FTE 100%

Mark Borwan  
Sec Ex Ser  
Pos #008717  
FTE 100%

Lindsay Fedler  
Sec Ex - Jour  
Pos #031347  
FTE 100%

Greg Kiefer  
Sec Ex Sen  
Pos #017388  
FTE 100%

Joseph Friesen  
Sec Ex - Jour  
Pos #036521  
FTE 100%

James Lackey JR  
Sec Ex - Jour  
Pos #036498  
FTE 100%

Vacant  
Sec Ex  
Pos #033264  
FTE 100%

Chad Macholz  
Sec Ex - Jour  
Pos #009818  
FTE 100%

Cheryl Casas  
Op Prog Associate  
Pos #015551  
FTE 100%

Jaki Weiler  
Op Prog Associate  
Pos #004291  
FTE 100%