



## U.S. Securities & Exchange Commission

### Attorney Vacancy

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. The Office of Compliance Inspections and Examinations (OCIE) is hiring attorneys for the Investment Adviser/Investment Company Examination Program with varying level of experience. These positions are located in the following SEC offices.

Atlanta, GA	Los Angeles, CA
Chicago, IL	Philadelphia, PA
Denver, CO	San Francisco, CA
Fort Worth, TX	Washington, DC

#### **Salary Ranges (Salary = Base Pay + Locality)\***

**SK-11:** \$74,262 - \$140,909

**SK-12:** \$89,002 - \$168,892

**SK-13:** \$105,841- \$200,831

*\* Atlanta being the lowest and San Francisco being the highest in each range*

#### **OCIE's Investment Adviser/Investment Company Examination Program**

The Investment Adviser/Investment Company Examination Program within OCIE is responsible for examining investment advisers, investment companies, and private funds. Specific topics of examinations can include: safety of assets, accuracy of disclosure, conflicts of interests, marketing/performance, quantitative analytics and other asset management priorities as identified by leadership. The Program also works with the policy divisions on investment adviser, private fund, and mutual fund rules.

#### **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.

## Job Details

- Participate in planning and conducting securities compliance examinations, developing reports of findings, and providing recommendations for examinations.
- Provide advice and technical support for examinations, investigations and enforcement activities.
- Conduct research, review and analyze a variety of documents related to investment adviser, private fund, and mutual fund examinations, and develop recommendations to resolve problems or issues encountered.
- Ability to work both individually and as part of a team.
- Some travel is required.

## Minimum Qualifications:

- SK-11: Applicant must possess a J.D. degree and be an active member of the bar in good standing (any jurisdiction).
- SK-12: Applicant must possess a J.D. degree and be an active member of the bar in good standing (any jurisdiction). In addition, applicant must have one year post J.D. experience as a practicing attorney OR possess a LLM.
- SK-13: Applicant must possess a J.D. degree and be an active member of the bar in good standing (any jurisdiction). In addition, applicant must have two years post J.D. experience as a practicing attorney, one year of which was in the specialty area of the position to be filled and which has equipped the applicant with the particular knowledge, skills, and abilities to successfully perform the duties of the position OR possess a LLM and have one year post LLM experience as a practicing attorney.

## Desired Qualifications:

- Ability to perform compliance examinations of investment advisers, investment companies, and private funds.
- Ability to communicate effectively in writing and orally.

## How to apply: (*Submission deadline – Thursday, June 20, 2019*)

Please send the following documents addressed to “Hiring Committee, Office of Investment Adviser/Investment Company” to [OCIE-IAICresumes@sec.gov](mailto:OCIE-IAICresumes@sec.gov).

- Resume
- Cover letter
  - Outline your relevant background and experience (which should be addressed in the resume)
  - Indicate your desired SEC Location (Max 2)
- Documentation showing that you are an active member of the bar in good standing
- [Attorney Appointment Application](#)

## Equal Employment Opportunity Statement

The United States Government does not discriminate in employment on the basis of race, color, religion, sex (including pregnancy and gender identity), national origin, political affiliation, sexual orientation, marital status, disability, genetic information, age, membership in an employee organization, retaliation, parental status, military service, or other non-merit factor.