



STATE OF COLORADO  
invites applications for the position of:

# DORA: Division of Securities- Financial/Credit Examiner I

**This position is open only to Colorado state residents.**

**CLASS TITLE:** FINANCIAL/CREDIT EXAMINER I

**LOCATION:** Denver, Colorado

**PRIMARY PHYSICAL WORK ADDRESS:** 1560 Broadway, Denver, CO 80202

**SALARY:** \$4,605.00 - \$5,672.00 Monthly

**OPENING DATE:** 06/03/21

**CLOSING DATE:** 06/24/21 11:59 PM

**JOB TYPE:** Full Time

**DEPARTMENT INFORMATION:**



**COLORADO**  
Department of  
Regulatory Agencies

The Department of Regulatory Agencies (DORA) is dedicated to preserving the integrity of the marketplace and is committed to promoting a fair and competitive business environment in Colorado.

*Consumer protection is our mission.*

**DESCRIPTION OF JOB:**

The Division of Securities exists to protect investors and maintain confidence in the securities market, while avoiding unreasonable burdens on the marketplace by licensing securities professionals, enforcing securities law violations, and helping Coloradans become more informed investors.

This work unit serves as an early warning system for investors by ensuring that securities firms are complying with the law, and by preventing dishonest and unethical sales practices. It accomplishes this mission through the examination and licensing of securities professionals, and by ensuring compliance with the securities laws. The work unit conducts field and remote desk audits and off-

site monitoring of broker-dealers and investment advisers; the result of audits can include comment letters, recommendations for corrective action, and referrals to Enforcement for revocation of license proceedings, or civil or criminal enforcement actions.

**Position:** SLA 8544

This position is responsible for conducting field and desk examinations. This includes preparation for exams, examining the books and records of licensees, and preparing the reports of findings. This position also answers inquiries from the general public and the industry regarding the Colorado Securities Act, the Colorado Commodities Code and the Colorado Municipal Bond Supervision Act. This position works under the training direction of the Lead Examiner and Chief Examiner.

Duties include but are not limited to:

- Responding to questions from the public regarding broker-dealers, investment advisers, and general securities inquiries;
- Responding to questions regarding Colorado securities laws from the regulated industry and other federal, state, and self-regulatory securities agencies;
- Determining which firms to examine from the approved exam candidate pool;
- With direction from supervisor, preparing for each examination by performing analysis and due-diligence research tailored to the particular examinee;
- Determining the plan, scope and timetable of each assigned examination;
- Conducting examinations of books and records of licensees which includes reviewing and analyzing financial statements, general ledgers and other various documents as required by state and federal regulations;
- Determining whether the licensees meet all filing requirements, including ensuring all books and records are maintained and adequate, firms have policies and procedures to ensure compliance with all relevant securities laws, trades are suitable and in the best interest of the clients, fees are reasonable and accurate, and significant risk for investments are disclosed;
- Preparing reports of findings in the form of a letter to the licensee and/ or memorandums to management.

**MINIMUM QUALIFICATIONS, SUBSTITUTIONS, CONDITIONS OF EMPLOYMENT & APPEAL RIGHTS:**

**MINIMUM QUALIFICATIONS (MQs):**

- Bachelor's degree from an accredited institution in accounting, banking, business, economics, finance, or in a field of study related to the work assignment; AND
- One year of professional\* experience in the securities or financial industry performing any of the following:
  - Internal auditing, compliance, sales, operations, and/or trade support;

AND/OR

- One year of professional\* experience working in a government body performing any of the following:
  - Conducting examinations and/or audits of financial institutions;
  - Examining financial records for accuracy, completeness, and compliance.

**Document this experience in your application IN DETAIL, as your experience will not be inferred or assumed. Part time experience will be prorated.**

**SUBSTITUTIONS:**

- Professional\* work experience which provided the same kind, amount and level of knowledge acquired through education may substitute for the bachelor's degree on a year-for-year basis.
- A master's or doctorate degree from an accredited college or university in a field of study related to the work assignment may substitute for the experience on a year for year basis.

*\*Professional work involves exercising discretion, analytical skill, judgment and personal accountability and responsibility for creating, developing, integrating, applying, and sharing an organized body of knowledge that characteristically is: uniquely acquired through an intense education or training regimen at a recognized college or university; equivalent to the curriculum requirements for a bachelor's or higher degree with major study in or pertinent to the specialized field; and continuously studied to explore, extend, and use additional discoveries, interpretations, and application and to improve data, materials, equipment, applications and methods.*

#### **Preferred Qualifications/Competencies:**

- Master's in Business Administration or Juris Doctorate;
- Certified Public Accountant (CPA), Certified Internal Auditor (CIA) and/or Certified Fraud Examiner (CFE);
- Demonstrated experience working in a regulatory environment conducting audits and/or examinations on financial institutions;
- Demonstrated experience working in the public sector or in a government body;
- Demonstrated experience working in the securities industry ensuring compliance with policies and procedures;
- Demonstrated experience working in the securities industry as a salesperson and/or an advisor;
- Demonstrated experience conducting fraud investigations in a financial setting;
- Demonstrated database management and/or data analysis experience, including constructing Excel spreadsheets, as well as extracting, and/or synthesizing information from database systems;
- Demonstrated experience with internal controls, risk assessments, business processes and internal auditing.

***Please note that possession of a professional designation/ license/ licensure will not automatically qualify you for this position. Document the required experience in your application IN DETAIL, as your experience will not be inferred or assumed. Part-time experience will be prorated.***

**Required Competencies:**The following knowledge, skills, abilities, and personal characteristics are required competencies and may be considered during the selection process (including examination and/or interview):

- Focused and demonstrated critical thinking and analysis skills, including having the ability to evaluate and analyze information in order to apply knowledge and to determine cases of non-compliance;
- Demonstrated writing skills, including the ability to create internal and external communications written in a clear, accurate, and concise manner;
- Proficient oral communication skills, including the ability to verbally communicate effectively to a diverse audience;
- Demonstrated interpersonal skills including the ability to collaborate with various stakeholders in order to analyze information, develop ideas and foster solutions;
- Sound judgement including the ability to determine the materiality of the financial statements reviewed;
- Proficient ability to read, understand, interpret, apply, and explain laws, rules, policies, and procedures;
- Focused and demonstrated understanding of quality customer service, including the ability to diplomatically interact with difficult customers by using de-escalation techniques when necessary, and maintain effective communication with all stakeholders;
- Proficient organizational skills, including planning, prioritization, and time management in order to meet deadlines;

- Demonstrated ability to read and understand rules, policies and laws related to complex financial products and arrangements;
- Demonstrated attention to detail;
- Demonstrated ability to understand and abide by workplace principles, practices and behaviors as internally identified and defined by the division;
- Advanced level of creativity and flexibility, including the ability to adapt to shifting priorities and additional work assignments in a fast-paced work environment;
- Self-starter, including the ability to work independently, utilize own knowledge and that of supervision and peers;
- Self-motivated, self-directed, reliable, and accountable;
- Ability to accept and apply constructive criticism, take ownership of mistakes and improve from them;
- Professional demeanor, including the ability to interact professionally with various stakeholders and internal staff;
- Proficiency in the use of PC software applications including Microsoft Office (Access, Word, Excel, Google Suite, etc.).

**Conditions of Employment:**Candidates who fail to meet the conditions of employment will be removed from consideration.

- The successful passing of a reference check and/or, if required, a background check.
  - A reference check may include but is not limited to: contacting previous and current supervisors to verify employment and discuss performance, a review of the personnel file, a review of the performance record, etc.
  - The type of background check depends on the job duties of the position, and can include a review of any criminal record, credit report, and/or driving record.
- Applicants must possess and maintain a valid driver's license and the ability and willingness to travel independently in own vehicle. You must include your driver's license number on your application in order to be considered.
- Required travel of up to 5%.

## **SUPPLEMENTAL INFORMATION:**

### **PLEASE READ - Required Application Materials**

Interested individuals must submit the following online:

1. **A completed State of Colorado Application** (log-in to your current NeoGov account or create a NeoGov account to complete the online application). Note: Incomplete applications, including incomplete work history sections or "see résumé," "see attachment," or "see addendum" statements, will not be accepted in lieu of a completed application form.

2. **A current email address** on your application, as all communication pertaining to this position will be conducted via email. Please set up your email to accept messages from info@governmentjobs.com and '@state.co.us' addresses, and check your email often. Note: The department cannot guarantee the successful delivery of email, including incorrect filtering into junk mail folders.

3. **A detailed cover letter**, explaining how you meet the required competencies and how your accomplishments, qualifications, skills, areas of expertise, personal characteristics, etc. make you a good fit for this position; you may also attach additional documents that demonstrate this.

### **Comparative Analysis Process: Structured Application Review**

Part of, if not the entire, comparative analysis process for this position will involve a review of the information you submit in your application materials; Therefore, it is paramount that in the experience portion of your application and cover letter, you describe the extent to which you

possess the education, experience, and competencies outlined in the job announcement as well as the required and/or preferred qualifications/competencies. You are also encouraged to attach additional documents to that effect. Failure to include adequate information or follow instructions may affect your score and prevent you from competing in subsequent measures used to arrive at a top group of applicants.

**Veterans' Preference:** Candidates who wish to assert Veterans' Preference should attach a copy of their DD214 to their application. Failure to do so will result in being denied Veterans Preference.

**PLEASE NOTE:** Former State Personnel System employees who were disciplinarily terminated or resigned in lieu of termination must disclose this information on the application. Colorado Revised Statutes require that all state employees be hired and promoted through competitive examination of merit and fitness. Failure to include the required information, failure to follow instructions, and/or failure to submit materials by the application deadline may result in your application not being considered for the position and may affect your score or inclusion in the final pool of qualified candidates.

The State of Colorado believes that equity, diversity, and inclusion drive our success, and we encourage candidates from all identities, backgrounds, and abilities to apply. The State of Colorado is an equal opportunity employer committed to building inclusive, innovative work environments with employees who reflect our communities and enthusiastically serve them. Therefore, in all aspects of the employment process, we provide employment opportunities to all qualified applicants without regard to race, color, religion, sex, disability, age, sexual orientation, gender identity or expression, pregnancy, medical condition related to pregnancy, creed, ancestry, national origin, marital status, genetic information, or military status (with preference given to military veterans), or any other protected status in accordance with applicable law.

**ADAAA Accommodations:** DORA is committed to the full inclusion of all qualified individuals. As part of this commitment, our agency will assist individuals who have a disability with any reasonable accommodation requests related to employment, including completing the application process, interviewing, completing any pre-employment testing, participating in the employee selection process, and/or performing essential job functions where the requested accommodation does not impose an undue hardship. If you have a disability and require reasonable accommodation to ensure you have a positive experience applying or interviewing for this position, please direct your inquiries to our ADAAA Coordinator, Rachael Alkayali, at [dora\\_hr@state.co.us](mailto:dora_hr@state.co.us) or call (303) 894-2441.

**Appeal Rights:** If you receive notice that you have been eliminated from consideration for this position, you may file an appeal with the State Personnel Board or request a review by the State Personnel Director.

An appeal or review must be submitted on the official appeal form, signed by you or your representative. This form must be delivered to the State Personnel Board by email, US Mail, faxed or hand-delivered within ten (10) calendar days from your receipt of notice or acknowledgment of the department's action.

For more information about the appeals process, the official appeal form, and how to deliver it to the State Personnel Board go to [spb.colorado.gov](http://spb.colorado.gov) or refer to 4 Colorado Code of Regulations(CCR) 801-1, State Personnel Board Rules and Personnel Director's Administrative Procedures, Chapter 8, Resolution of Appeals and Disputes, at [spb.colorado.gov](http://spb.colorado.gov) under Rules.

**HOW TO APPLY:** Thank you for your interest. Submit an on-line application by clicking the link below or submit a State of Colorado Application for Announced Vacancy and all supplemental questions according to the instructions provided below. Failure to submit a complete and timely application may result in the rejection of your application. Applicants are responsible for ensuring that application materials are received by the appropriate Human Resources office before the closing date and time listed above.

**IF NOT APPLYING ON-LINE, SUBMIT APPLICATION TO:**

Only online applications will be accepted for this position.

**DEPARTMENT CONTACT INFORMATION:**

Alanah Daniels: [alanah.daniels@state.co.us](mailto:alanah.daniels@state.co.us)

**METHODS OF APPOINTMENT:** Appointment to the vacancy or vacancies represented by this announcement is expected to be from the eligible list created. However, at the discretion of the appointing authority, the position(s) may be filled by another method of appointment for a valid articulated business reason.

APPLICATIONS MAY BE FILED ONLINE AT:  
<http://www.colorado.gov/jobs>

Position #SLA-8544-06/21  
 DORA: DIVISION OF SECURITIES- FINANCIAL/CREDIT  
 EXAMINER I  
 AD

THE STATE OF COLORADO IS AN EQUAL OPPORTUNITY EMPLOYER.

**DORA: Division of Securities- Financial/Credit Examiner I Supplemental Questionnaire**

- \* 1. DORA Q1: Please provide your Social Security Number. NOTE: This information will be kept strictly confidential and is only accessible to Human Resources Personnel.
- \* 2. DORA Q2: Are you a current or previous State of Colorado employee? Enter "yes" or "no" in the space provided. If "yes", enter 1) the State agency name, 2) dates of employment, and 3) your official classification title.
- \* 3. DORA Q3: If you are a current or former State of Colorado classified employee, have you ever been disciplinary terminated, resigned in lieu of termination, or deemed to have resigned without notice (Board Rule 7-6, Automatic Resignation)? NOTE: Current and former State Personnel System employees who were disciplinary terminated, resigned in lieu of termination, or who were deemed to have resigned without notice (Board Rule 7-6, Automatic Resignation) must disclose this information on the application. Failure to disclose this information and/or falsification of application materials may result in being removed from consideration for this position.
  - N/A - I am not a current or former State of Colorado classified employee.
  - YES, I have been disciplinary terminated, resigned in lieu of termination, or deemed to have resigned without notice (Board Rule 7-6, Automatic Resignation).
  - NO, I have NEVER been disciplinary terminated, resigned in lieu of termination, or deemed to have resigned without notice (Board Rule 7-6, Automatic Resignation).
- \* 4. DORA Q4: Current or Former Classified Employees: Are you a transfer, non-disciplinary (voluntary) demotion, or reinstatement applicant?
  - Yes
  - No
  - N/A - I am not a current or former State of Colorado classified employee.
- \* 5. DORA Q5: VETERAN'S PREFERENCE NOTE: If you are not eligible for/seeking Veteran's Preference, please skip down to the bottom and select option "N/A". REQUIRED DOCUMENTATION: Candidates who wish to assert Veterans' Preference should attach a copy of their DD214 reflecting dates of service, type of discharge, and, if appropriate, a campaign badge or service medal. If information regarding a campaign badge or service medal is necessary to award preference points and is not reflected on the DD214, other documents reflecting the grade or medal must be provided. Other types of documentation may be required for ten point preference. \*Note 1: For a complete list of service dates and campaigns used in awarding preference points visit: <http://www.opm.gov/veterans/html/vgmedal2.htm> \*\*Note 2: Medal holders and Gulf War

veterans who originally enlisted after September 7, 1980, or entered active duty on or after October 14, 1982, without having previously completed 24 months of continuous active duty; must have served continuously for 24 months or the full period called or ordered to active duty. \*\*\*Note 3: Effective October 1, 1980, military retirees at or above the rank of major or equivalent, are not entitled to preference unless they qualify as disabled veterans. Reservists who are retired from the Reserves but are not receiving retirement pay are not considered "retired military" for purposes of veterans' preference. REMINDER: Proof of eligibility must be provided before points are allowed. Please attach documentation to your application. If you have not done so, please go back and do so now. Veteran's Preference points WILL NOT be applied without the appropriate documentation. PLEASE CHECK ALL THAT APPLY:

- N/A - I am not eligible for/seeking Veteran's Preference.
- A) I was honorably separated (this means an honorable or general discharge) and I served on active duty (excluding active duty for training) in the Armed Forces: During any war declared by Congress
- B) I was honorably separated (this means an honorable or general discharge) and I served on active duty (excluding active duty for training) in the Armed Forces: During the period April 28, 1952, through July 1, 1955;
- C) I was honorably separated (this means an honorable or general discharge) and I served on active duty (excluding active duty for training) in the Armed Forces: For more than 180 consecutive days, any part of which occurred after January 31, 1955, and before October 15, 1976;
- D) I was honorably separated (this means an honorable or general discharge) and I served on active duty (excluding active duty for training) in the Armed Forces: During the Gulf War period beginning August 2, 1990, and ending January 2, 1992;
- E) I was honorably separated (this means an honorable or general discharge) and I served on active duty (excluding active duty for training) in the Armed Forces: For more than 180 consecutive days, any part of which occurred during the period beginning September 11, 2001, and ending on the date prescribed by Presidential proclamation or by law as the last day of Operation Iraqi Freedom; or,
- F) I was honorably separated (this means an honorable or general discharge) and I served on active duty (excluding active duty for training) in the Armed Forces: In a campaign or expedition for which a campaign medal has been authorized\*, such as El Salvador, Lebanon, Granada, Panama, Southwest Asia, Somalia, and Haiti.
- G) I have served on active duty in the Armed Forces at any time and have a present service connected disability or are receiving compensation, disability retirement benefits, or pension from the military or the Department of Veterans Affairs; or
- H) I am a Purple Heart recipient;
- I) I am the spouse of a veteran unable to work because of a service-connected disability;
- J) I am the unmarried widow/widower of certain deceased veterans; and
- K) I am the mother of a veteran who died in service or who is permanently and totally disabled.

- \* 6. DORA Q6: Part of the required application materials includes a detailed cover letter, explaining how you meet the required competencies and how your accomplishments, qualifications, skills, areas of expertise, personal characteristics, etc. make you a good fit for this position; you may also attach additional documents that demonstrate this. Q: Have you included this cover letter as an attachment to your application? (If not, you may go back and do so now). Yes, I have attached the required cover letter explaining how I meet the required competencies and how my accomplishments, qualifications, skills, areas of expertise, personal characteristics, etc. make me a good fit for this position; I may also attach additional documents that demonstrate this. No, I have not attached the required cover letter to my application. Note: I understand that failure to include this information and follow instructions may prevent me from competing in subsequent measures used to arrive at a top group of applicants.
- Yes    No

- \* 7. DORA Q7: Do you currently possess a bachelor's degree in accounting, banking, business,

economics, finance, or a field of study directly related to the work assignment? If so, please list the type of degree below.

- \* 8. DORA Q8: Please clearly describe, using examples, how you meet the following minimum qualification: One year of professional\* experience in the securities or financial industry performing any of the following: o Internal auditing, compliance, sales, operations, and/or trade support; AND/OR • One year of professional\* experience working in a government body performing any of the following: o Conducting examinations and/or audits of financial institutions; o Examining financial records for accuracy, completeness, and compliance.
- \* 9. DORA Q9: Please clearly describe, using examples, how you meet the following preferred qualification: Master's in Business Administration or Juris Doctorate.
- \* 10. DORA Q10: Please clearly describe, using examples, how you meet the following preferred qualification: Certified Public Accountant (CPA), Certified Internal Auditor (CIA) and/or Certified Fraud Examiner (CFE).
- \* 11. DORA Q11: Please clearly describe, using examples, how you meet the following preferred qualification: Demonstrated experience working in a regulatory environment conducting audits and/or examinations on financial institutions.
- \* 12. DORA Q12: Please clearly describe, using examples, how you meet the following preferred qualification: Demonstrated experience working in the public sector or in a government body.
- \* 13. DORA Q13: Please clearly describe, using examples, how you meet the following preferred qualification: Demonstrated experience working in the securities industry ensuring compliance with policies and procedures.
- \* 14. DORA Q14: Please clearly describe, using examples, how you meet the following preferred qualification: Demonstrated experience working in the securities industry as a salesperson and/or an advisor.
- \* 15. DORA Q15: Please clearly describe, using examples, how you meet the following preferred qualification: Demonstrated experience conducting fraud investigations in a financial setting.
- \* 16. DORA Q16: Please clearly describe, using examples, how you meet the following preferred qualification: Demonstrated database management and/or data analysis experience, including constructing Excel spreadsheets, as well as extracting, and/or synthesizing information from database systems.

- \* 17. DORA Q17: Please clearly describe, using examples, how you meet the following preferred qualification: Demonstrated experience with internal controls, risk assessments, business processes and internal auditing.

\* Required Question