



**Division of Economic Justice**  
**Investor Protection Bureau – New York City**  
**Securities Registration Section Chief**  
**Reference No. IPB\_NYC\_SC\_3627**

**Application Deadline is December 15, 2023**

The Office of the New York State Attorney General's (OAG) [Investor Protection Bureau](#) (IPB) is seeking an experienced attorney and manager to serve as the Securities Registration Section Chief. IPB is responsible for protecting the public from fraud by requiring brokers, dealers, securities salespersons, and investment advisers to register with the OAG. The Section Chief will be responsible for overseeing all operational functions of the Securities Registration Section, including supervising section staff who are responsible for processing and evaluating broker-dealer, investment adviser, and other registration forms and annual filings; managing and enhancing registration section processes; implementing technology improvements to modernize the Section's filing systems; maintaining and updating the Section's website; managing special projects and initiatives; and assisting IPB's Enforcement Section with investigation matters. The Section Chief position is located in the New York City office and reports directly to the IPB Bureau Chief.

**Duties:**

- **Management:** Supervise the Securities Registration Section's team of nine (9) full-time staff. Activities will include, but are not limited to, people management, identifying and scheduling assignments, approving timesheets, completing performance evaluations, coordinating training and professional development opportunities, and hiring, recruitment and succession planning.
- **Innovation:** Review all policies, procedures, and processes, and make recommendations for improvement. Implement new policies, procedures, and processes where appropriate. Serve as the primary liaison between the section and the Information Technology Bureau. Initiate and drive technology projects as part of IPB's modernization and continuous improvement planning. Set priorities, assess needs, and coordinate development and testing for new technologies. Develop legislative proposals and support statutory and regulatory initiatives and amendments.
- **Leadership:** Work with section staff to ensure effective communication with registrants and their counsel regarding New York registration requirements and processes. Provide coaching, mentoring, and other assistance to section staff to facilitate teamwork and resolve productivity, customer service, and human resources/labor relations issues.
- **Performance Measurement:** Identify and record performance measures to promote efficient registration processes. Generate and review productivity reports and regularly review performance and other issues with section employees to ensure continuous improvement and optimize the section's output.
- **Section Operations:** Liaise with Division of Administration bureaus to resolve issues related to records disposition, equipment upkeep, budget, and human resource matters.
- **Support IPB Investigations and Litigation:** Oversee staff in assisting attorneys, for example, by monitoring registration compliance by subjects of investigation and parties to litigation, and generating reports from data maintained by the Section. Resolve late filing registration issues. Investigate registration enforcement matters.

**Qualifications:**

- A minimum of five (5) years of experience in securities and financial services law and regulation;
- A minimum of three (3) years of management experience;
- Knowledge of state and federal securities laws;
- Excellent problem solving, project management, performance management, relationship management, and communication skills (verbal and written); and
- A demonstrated record of taking initiative and managing work and staff relationships in a highly organized and collaborative way.

### ***Preferred Experience:***

- Prior experience supervising and/or mentoring legal support staff;
- Experience leading teams in a licensing, registration, certification, compliance, or other similar processing environment;
- Experience with licensing or registration related litigation; and
- Experience maintaining and/or modifying complex data management systems (e.g., Oracle databases).

Applicants must reside in (or intend to soon become a resident of) New York State and be admitted to practice law in New York State. In addition, the Public Officers Law requires that OAG attorneys be citizens of the United States. A two (2) year commitment upon being hired is a condition of employment.

**The salary range for this position is \$151,487 - \$173,368 + \$3,087 in location pay.** The final salary will be determined after a complete evaluation of the selected candidate's qualifications. As an employee of the OAG, you will join a team of dedicated individuals who work to serve the people of our State through a wide variety of occupations. We offer a comprehensive New York State benefits package, including paid leave, health, dental, vision and retirement benefits, and family-friendly policies. Additionally, the OAG offers a robust Workplace Flexibilities Program with multiple options for employees, including telecommuting (up to two days per week) and alternative work schedules.

*Candidates from diverse backgrounds are encouraged to apply.  
The OAG is an equal opportunity employer and is committed to workplace diversity.*

## **HOW TO APPLY**

**Applications must be submitted online.** To apply, please click on the following link: [\*\*IPB NYC SC 3627\*\*](#)

**To ensure consideration, applications must be received by close of business on December 15, 2023.**

Applicants must be prepared to submit a complete application consisting of the following:

- **Cover Letter**
  - You may address to Legal Recruitment.
  - Indicate why you are interested in this position and what makes you a strong candidate. You may wish to include information about what life experiences you will bring to the position that will enhance IPB's ability to better serve the diverse population of this state.
- **Resume**
- **Legal Writing Sample**
- **List of three (3) references**
  - Only submit professional references, supervisory references are preferred.
  - Indicate the nature and duration of your relationship to each reference.
  - Include contact information and email addresses for each reference.
  - Please note, your references will not be contacted until after you interview for the position.

**If you have questions regarding a position with the OAG and the application process or need assistance with submitting your application, please contact Legal Recruitment via email at [recruitment@ag.ny.gov](mailto:recruitment@ag.ny.gov) or phone at 212-416-8080.**

**For more information about the OAG, please visit our website: [ag.ny.gov](http://ag.ny.gov)**