



Division of Economic Justice
Investor Protection Bureau – New York City
Securities Registration Director
Reference No. IPB_NYC_SRD_6321

Application Deadline is May 3, 2024

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

Duties:

- **Management:** Supervise the Securities Registration Unit'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 unit 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 unit staff to ensure effective communication with registrants and their counsel regarding New York registration requirements and processes. Provide coaching, mentoring, and other assistance to unit 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 unit employees to ensure continuous improvement and optimize the unit's output.
- **Unit 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 unit. Resolve late filing registration issues. Investigate registration enforcement matters.

Qualifications:

- A minimum of five (5) years of experience in securities and financial services;
- 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).

The salary for this position is \$133,879 + \$3,400 in location pay. 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 SRD 6321**](#)

To ensure consideration, applications must be received by close of business on May 3, 2024.

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**
- **Writing Sample**
- **List of three (3) references**
 - Only submit professional references, supervisory references are preferred.
 - For each reference, indicate the nature and duration of your relationship.
 - Include contact information and email addresses for each reference.
 - Please note that 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 or phone at 212-416-8080.

For more information about the OAG, please visit our website: ag.ny.gov