



Division of Economic Justice

Investor Protection Bureau – New York City

Assistant Attorney General - Securities Registration Section Director

Reference No. IPB_NYC_AAG/SRSD_3158

[The Investor Protection Bureau](#) of the New York State Office of the Attorney General is seeking an experienced attorney and manager to serve as the Securities Registration Section Director. The Investor Protection Bureau is responsible for protecting the public from fraud by requiring brokers, dealers, securities salespersons, and investment advisers to register with the Attorney General's Office. The Section Director will have primary responsibility for overseeing all operational functions of the Securities Registration Section, including supervising a nine (9) person staff that processes and evaluates broker-dealer, investment adviser, and other registration forms and annual filings; overseeing and enhancing registration section processes; overseeing the implementation of technology improvements to modernize the Section's filing systems; maintaining and updating the Section's website; and managing special projects and initiatives. The Section Director will report directly to the Bureau Chief.

Primary Responsibilities and Tasks:

- **Management:** Supervise full-time staff assigned to the Securities Registration Section in New York City. Activities include, but are not limited to, identifying and scheduling assignments, approving timesheets, and completing performance evaluations. The Section currently includes nine (9) permanent staff members. The Section also includes one Senior Registration Counsel, who reports to the Bureau Chief.
- **Innovation:** Review all policies, procedures, and processes, and make recommendations for improvement. Implement new policies, procedures, and processes where appropriate. Act as chief liaison between the Securities Registration Section and the Information Technology Management Bureau. Initiate and drive technology projects as part of the Investor Protection Bureau's modernization and continuous improvement. Set priorities, assess needs, and coordinate development and testing. Develop legislative proposals and support for statutory and regulatory initiatives and amendments.
- **Leadership:** Work with Section staff, including Senior Registration Counsel, to communicate effectively with registrants and their counsel regarding New York registration requirements and processes. Provide coaching, mentoring, and other assistance to staff as needed to facilitate teamwork and resolve complex human resource, productivity, and customer service related issues.
- **Staff Development:** Train and obtain training for staff regarding existing and new policies, procedures, and processes.
- **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 in order to prioritize work.
- **Collaboration:** Act as Division of Administration liaison to resolve Securities Registration Section issues related to records disposition, equipment upkeep, budget, and human resource management.
- **Support for Bureau's Investigations and Litigation:** Oversee staff in assisting attorneys by, for example, monitoring registration compliance by subjects of investigation and parties to litigation, and generating reports from data maintained by the Section.

Applicants for Registration Section Director must have:

- A minimum of ten (10) years of experience in securities and financial services law and regulation
- Knowledge of the Martin Act, federal securities laws, and other states' securities laws

Ideal applicants for Registration Section Director will also have some or all of the following qualifications:

- Excellent problem solving, project management, and communication skills
- Experience maintaining and/or modifying complex content management systems (e.g., Oracle databases)
- Experience leading teams in a licensing, registration, certification, or other similar process environment
- A strong track record of taking initiative and of managing work and staff in a highly organized way

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 attorneys in the OAG must be citizens of the United States. A two (2) year commitment upon being hired is a condition of employment.

*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 are being received online. To apply, please click on this link: [IPB NYC AAG/SRSD 3158](#); applicants will be taken to the online application page for this position.

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

- [Cover Letter](#) (You may address to Sandra Jefferson Grannum, Esq., Bureau Chief, Legal Recruitment);
- [Resume](#);
- [Writing Sample](#); and
- List of three (3) professional or [references](#) with contact information and email addresses.

Please note: Failure to submit a complete application will delay the consideration of your application.

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

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