

STATE OF OHIO (DAS)
CLASSIFICATION
SPECIFICATION

CLASSIFICATION SERIES:

Attorney Inspector

SERIES NO.:

6394

MAJOR AGENCIES:

Commerce only

EFFECTIVE DATE

SERIES PURPOSE

The purpose of the attorney inspector occupation is to investigate & report upon all complaints & alleged violations of laws relating to the issue & sale of securities & to represent the division in prosecutions arising from such complaints & alleged violations.

Note: This class reserved for use by Department of Commerce only.

CLASS TITLE

Attorney Inspector

CLASS NUMBER:

63941

EFFECTIVE DATE

12/15/1991

CLASS CONCEPT:

The full performance level class works under general direction & requires thorough knowledge of Ohio Securities Act & regulations, federal securities statute & regulations & registration guidelines & case law concerning securities enforcement matters in order to plan, direct, coordinate & oversee legal activity of enforcement procedures within division of securities & supervise assigned staff.

CLASS TITLE Attorney Inspector	CLASS NUMBER: 63941	BARGAINING UNIT: EX
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EFFECTIVE DATE

12/15/1991

JOB DUTIES IN ORDER OF IMPORTANCE: (These duties are illustrative only. Incumbents may perform some or all of these duties or other job-related duties as assigned.)

Plans, directs & coordinates legal activity of Division of Securities enforcement procedures, regulates & monitors issuance & sale of securities throughout state to maintain compliance with Ohio Securities Act, supervises assigned staff (e.g., lower-level attorneys, investigators, security specialists, examiners), reviews complaints & examination reports of alleged securities violations & assigns cases for investigation & enforcement action, maintains surveillance & review of assignments to assure proper & timely disposition, oversees preparation & review of all legal documents & prepares & implements policies & procedures regarding various activities (e.g., investigations, preparation of documents/instruments, conduct of hearings, appeals, reports of examinations).

Provides legal advice to agency personnel; manages extremely complex cases; conducts formal & informal hearings; conducts research; oversees & coordinates preparation of legal documents; oversees & reviews cases involving evidence of criminality.

Serves as legal liaison; participates in meetings & conferences; represents supervisor at meetings; participates in development & preparation of proposals on pending or necessary legislative action; conducts orientation & training programs for assigned staff; interviews applicants for vacant positions.

MAJOR WORKER CHARACTERISTICS:

Knowledge of law (i.e., procedural & substantive); legal research methods; legal writing; financial & legal aspects of corporate structures, organizations & federal Williams Act & other federal laws concerning acquisitions, proxy solicitations & regulation of "insider trading"; Ohio & interstate law dealing with takeovers, control share acquisitions, insider trading, squeezeouts & other corporate control issues. Ability to deal with large numbers of variables & arrive at course of action; analyze complex financial statements & related accounting reports, labor & other contracts & economic impact of takeover; act as hearing officer & analyze large number of pages of transcripts & exhibits & prepare timely report; organize & interpret large variety of facts & legal issues; handle sensitive contacts with government officials, adverse parties & general public.

MINIMUM CLASS QUALIFICATIONS FOR EMPLOYMENT:

Admittance to Ohio Bar pursuant to Section 4705.01, Ohio Revised Code; 36 mos. exp. as a licensed attorney with a minimum of 24 mos. of securities related exp.; valid driver's license.

TRAINING AND DEVELOPMENT REQUIRED TO REMAIN IN THE CLASSIFICATION AFTER EMPLOYMENT:

Completion of 24 credit hours of continuing legal education from accredited programs for applicable two-year reporting period pursuant to Rule X of Rules of Government of Bar of Ohio. Current certificate of registration pursuant to Rule VII of Rules of Government of Bar of Ohio.

UNUSUAL WORKING CONDITIONS:

May require overnight & out-of-state travel; requires flexible working hours; may require excessive hours concentrated in limited time spans to meet deadlines.