

STATE OF OHIO (DAS)CLASSIFICATION
SPECIFICATION**CLASSIFICATION SERIES:**

Securities Analyst

SERIES NO.:

6661

MAJOR AGENCIES:

Commerce and Public Utilities Commission Only

EFFECTIVE DATE:

03/06/2016

SERIES PURPOSE:

The purpose of the securities analyst occupation is to perform review & analysis of investment securities offerings applications & supporting documentation to determine compliance with Ohio Securities Act & other applicable federal & state laws, rules & regulations.

At the lowest level, incumbents perform less complex reviews & analysis of variety of securities offerings applications, conduct meetings with issuers to discuss areas of non-compliance & complete required documentation.

At the higher levels, incumbents perform reviews & analyses of various securities offerings applications of increasing complexity & difficulty to determine compliance with all applicable state & federal laws & regulations, meet with issuers on non-compliance issues, participate in policy & procedures review & prepare all required documentation & reports of findings.

This classification series is restricted to use by Department of Commerce and Public Utilities Commission Only

JOB TITLE

Securities Analyst 1

JOB CODE

66611

PAY GRADE

31

EFFECTIVE

03/06/2016

CLASS CONCEPT:

The full performance level class works under general supervision & requires considerable knowledge of public accounting or finance principles, techniques & practices, federal & state laws & agency's policies & procedures for investment securities examination, investigation & analysis in order to review & analyze various investment securities offerings applications (e.g., federal private offering exemptions, securities registrations by description & limited offerings of securities with prospectus) for compliance with applicable laws & regulations.

JOB TITLE

Securities Analyst 2

JOB CODE

66612

PAY GRADE

32

EFFECTIVE

03/06/2016

CLASS CONCEPT:

The full performance level class works under direction & requires considerable knowledge of public accounting or finance, general management principles & techniques, federal & state laws & agency's policies & procedures for investment securities examination, investigation & analysis in order to perform reviews & analysis of various more complex applications of investment securities offerings (e.g., mutual funds, investment companies registered under Securities Act of 1933, stock, debt & partnership offerings) to determine compliance with applicable laws, advise issuers in areas of non-compliance & complete all required documentation & reports.

JOB TITLE

Securities Analyst 3

JOB CODE

66613

PAY GRADE

33

EFFECTIVE

03/06/2016

CLASS CONCEPT:

The advanced level class works under direction & requires thorough knowledge of public accounting or finance principles, techniques & practices, federal & state laws & agency's policies & procedures for investment securities examination, investigation & analysis & general management principles & techniques in order to perform review & analysis of investment securities offerings applications of increasing complexity (e.g., public offerings by coordination & qualification including oil & gas offerings, commodity pools, debt & equity offerings, merger filings) to determine compliance with all applicable state & federal laws & conduct meetings with issuers to advise in areas of non-compliance & discuss inconsistencies.

JOB TITLE

Securities Analyst 4

JOB CODE

66614

PAY GRADE

34

EFFECTIVE

03/06/2016

CLASS CONCEPT:

The expert level class works under direction & requires extensive knowledge of public accounting or finance principles, techniques & practices, federal & state laws & agency's policies & procedures for investment securities examination, investigation & analysis & general management principles & techniques in order to perform most complex & difficult reviews & analyses of investment securities offerings applications & supporting documentation (e.g., take-over bids & all related filings & debt & equity offerings) for compliance with all applicable laws, participate in revisions of rules, regulations & guidelines pertaining to investment securities examination & investigation activities & assist with planning & presenting staff training programs.

<u>JOB TITLE</u>	<u>JOB CODE</u>	<u>B. U.</u>	<u>EFFECTIVE</u>	<u>PAY GRADE</u>
Securities Analyst 1	66611	14	03/06/2016	31

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.)

Reviews & analyzes various investment securities offerings applications (e.g., federal private offering exemptions, securities registrations by description & limited offerings of securities with prospectus), reviews, analyzes & evaluates securities registrations to determine compliance with Ohio Securities Act & other appropriate regulations, reviews financial statements & records data, conducts review meetings with issuer or representatives to discuss problems & recommend modifications & revisions for compliance, prepares & distributes certificates of acknowledgement, records completion of application, reports non-compliance & completes detailed reports.

Conducts investigations of fact pertaining to securities offerings applications, researches laws, regulations & legal opinions & decisions & compares issues with regulatory bodies, federal & other state agencies as part of investigative process.

MAJOR WORKER CHARACTERISTICS:

Knowledge of business administration (i.e., public accounting or finance); agency, state &/or federal laws, rules, regulations, policies & procedures governing financial institutions (i.e., securities); public relations; criminal investigative techniques*; general management*. Skill in use of computer terminal; calculator. Ability to define problems, collect data, establish facts & draw valid conclusions; review & interpret financial records & journals; handle sensitive inquiries & develop good rapport with public, government & business officials; prepare detailed reports regarding securities investigations.

(*)Developed after employment.

MINIMUM CLASS QUALIFICATIONS FOR EMPLOYMENT:

Completion of undergraduate core program in business administration (i.e., public accounting or finance); 24 mos. trg. or 24 mos. exp. in state &/or federal laws & regulations & agency's policies & procedures governing investment securities & investment securities examining practices & in performing securities examinations; 1 course or 3 mos. exp. in public relations; valid driver's license.

-Or 24 mos. exp. examining financial records for firm, government agency or financial institution; 24 mos. trg. or 24 mos. exp. in state &/or federal laws & regulations & agency's policies & procedures governing investment securities & investment securities examining practices & in performing securities examinations; 1 course or 3 mos. exp. in public relations; valid driver's license.

-Or 24 mos. exp. performing criminal investigations; 24 mos. trg. or 24 mos. exp. in state &/or federal laws & regulations & agency's policies & procedures governing investment securities & investment securities examining practices & in performing securities examinations; 1 course or 3 mos. exp. in public relations; valid driver's license.

-Or 12 mos. exp. as Securities Examiner 2, 66582; valid driver's license.

-Or equivalent of Minimum Class Qualifications for Employment noted above.

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

Not applicable.

UNUSUAL WORKING CONDITIONS:

Travel may be required.

<u>JOB TITLE</u>	<u>JOB CODE</u>	<u>B. U.</u>	<u>EFFECTIVE</u>	<u>PAY GRADE</u>
Securities Analyst 2	66612	14	03/06/2016	32

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.)

Reviews & analyzes variety of more complex applications of investment securities offerings (e.g., mutual funds, investment companies registered under Securities Act of 1933, stock, debt & partnership offerings) to determine compliance with Ohio Securities Act & other applicable rules & regulations, advises issuer or issuer's representative of areas in non-compliance & suggests revisions & requests submission of supplemental information or amended material, prepares & distributes certificates of acknowledgement or division orders for revisions, records completion of application, prepares detailed reports & cites non-compliance.

Performs review & analysis of less complex securities offerings as required; drafts proposed revisions of rules, regulations & guidelines pertaining to securities examination, investigation & analysis process; conducts investigations of fact pertaining to securities offerings applications; compares issues with regulatory bodies, federal & other state agencies as part of investigative process.

MAJOR WORKER CHARACTERISTICS:

Knowledge of business administration (i.e., public accounting or finance); general management; agency, state &/or federal laws, rules, regulations, policies & procedures governing financial institution (i.e., securities); public relations; criminal investigative techniques. Skill in use of calculator; computer terminal. Ability to define problems, collect data, establish facts & draw valid conclusions; review & interpret financial records & journals; handle sensitive inquiries & develop good rapport with public, business representatives & government officials; prepare detailed reports & analyses of findings.

MINIMUM CLASS QUALIFICATIONS FOR EMPLOYMENT:

Completion of undergraduate core program in business administration (i.e., public accounting or finance); 36 mos. trg. or 36 mos. exp. in state &/or federal laws & regulations & agency's policies & procedures governing investment securities & investment securities examining practices & performing securities examinations; 1 course or 3 mos. exp. in public relations; 1 course or 3 mos. exp. in general management principles & techniques; valid driver's license.

-Or 24 mos. exp. examining financial records for firm, government agency or financial institution; 36 mos. trg. or 36 mos. exp. in state &/or federal laws & regulations & agency's policies & procedures governing investment securities & investment securities examining practices & in performing securities examinations; 1 course or 3 mos. exp. in public relations; 1 course or 3 mos. exp. in general management principles/techniques; valid driver's license.

-Or 24 mos. exp. performing criminal investigations; 36 mos. trg. or 36 mos. exp. in state &/or federal laws & regulations & agency's policies & procedures governing investment securities & investment securities examining practices & in performing securities examinations; 1 course or 3 mos. exp. in public relations; valid driver's license.

-Or 12 mos. exp. as Securities Analyst 1, 66611; valid driver's license.

-Or equivalent of Minimum Class Qualifications for Employment noted above.

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

Not applicable.

UNUSUAL WORKING CONDITIONS:

Travel may be required.

<u>JOB TITLE</u>	<u>JOB CODE</u>	<u>B. U.</u>	<u>EFFECTIVE</u>	<u>PAY GRADE</u>
Securities Analyst 3	66613	14	03/06/2016	33

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.)

Reviews & analyzes investment securities offerings applications of increasing complexity (e.g., public offerings by coordination & qualification including oil & gas offerings, commodity pools, debt & equity offerings, merger filings) & supplemental & amended materials for compliance with Ohio Securities Act, conducts review meetings with issuers to discuss inconsistencies in the application & areas of non-compliance, prepares & distributes division orders or certificates of acknowledgement on satisfactory completion of review & completes detailed & technical reports & cites non-compliance.

Performs review & analysis of less complex securities offerings as required; provides assistance to other analysts as needed; obtains relevant information from appropriate regulatory bodies, federal & state agencies; conducts investigations of fact regarding securities offerings; maintains current base of knowledge concerning financial & legal conditions affecting offerings under review.

MAJOR WORKER CHARACTERISTICS:

Knowledge of business administration (i.e., accounting or finance); general management; agency, state &/or federal laws, rules, regulations, policies & procedures governing financial institutions (i.e., securities); public relations; technical writing*; criminal investigative techniques. Skill in use of calculator; computer terminal. Ability to define problems, collect data, establish facts & draw valid conclusions; review & interpret financial records & journals; proofread technical materials & prepare technical reports regarding examination findings; handle sensitive inquiries & develop good rapport with business officials. (*)Developed after employment.

MINIMUM CLASS QUALIFICATIONS FOR EMPLOYMENT:

Completion of undergraduate core program in business administration (i.e., accounting or finance); 48 mos. trg. or 48 mos. exp. in state &/or federal laws & regulations & agency's policies & procedures governing investment securities & investment securities examining practices & performing securities examinations; 1 course or 3 mos. exp. in public relations; 1 course or 3 mos. exp. in general management principles/techniques; valid driver's license.

-Or 24 mos. exp. examining financial records for firm, government agency or financial institution; 48 mos. trg. or 48 mos. exp. in state &/or federal laws & regulations & agency's policies & procedures governing investment securities & investment securities examining practices & in performing securities examinations; 1 course or 3 mos. exp. in public relations; 1 course or 3 mos. exp. in general management principles/techniques; valid driver's license.

-Or 24 mos. exp. performing criminal investigations; 48 mos. trg. or 48 mos. exp. in state &/or federal laws & regulations & agency's policies & procedures governing investment securities & investment securities examining practices & in performing securities examinations; 1 course or 3 mos. exp. in public relations; 1 course or 3 mos. exp. in general management principles/techniques; valid driver's license.

-Or 12 mos. exp. as Securities Analyst 2, 66612; valid driver's license.

-Or equivalent of Minimum Class Qualifications for Employment noted above.

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

Not applicable.

UNUSUAL WORKING CONDITIONS:

Travel may be required.

<u>JOB TITLE</u>	<u>JOB CODE</u>	<u>B. U.</u>	<u>EFFECTIVE</u>	<u>PAY GRADE</u>
Securities Analyst 4	66614	14	03/06/2016	34

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.)

Reviews & analyzes most complex & difficult applications of investment securities offerings & relevant supplemental data (e.g., take-over bids & all related filings & debt & equity offerings) for compliance with all applicable laws, conducts review meetings with issuers to discuss inconsistencies & areas of non-compliance, prepares & distributes division orders or certificates of acknowledgement on satisfactory completion of review, prepares detailed technical reports citing all areas of non-compliance.

Participates in revisions of rules, regulations & guidelines pertaining to investment securities examination & investigation activities; assists with planning & presenting information & staff training programs.

Performs review & analysis of less complex securities offerings as required; obtains relevant information from regulatory bodies, federal & state agencies; provides guidance, training & assistance to other analysts as needed.

MAJOR WORKER CHARACTERISTICS:

Knowledge of business administration (i.e., accounting or finance); general management; agency, state &/or federal laws, rules, regulations, policies & procedures governing financial institutions (i.e., securities); staff training principles/techniques*; public relations; technical writing; criminal investigative techniques. Skill in use of calculator; computer terminal. Ability to define problems, collect data, establish facts & draw valid conclusions; review & interpret financial records & journals; proofread technical materials & prepare technical reports regarding examination findings; handle sensitive inquiries & develop good rapport with business officials.

(*)Developed after employment.

MINIMUM CLASS QUALIFICATIONS FOR EMPLOYMENT:

Completion of undergraduate core program in business administration (i.e., accounting or finance); 60 mos. trg. or 60 mos. exp. in state &/or federal laws & regulations & agency's policies & procedures governing investment securities & investment securities examining practices & performing securities examinations; 1 course in technical writing or 3 mos. exp. writing technical reports & correspondence; 1 course or 3 mos. exp. in public relations; 1 course or 3 mos. exp. in general management principles/techniques; valid driver's license.

-Or 24 mos. exp. examining financial records for firm, government agency or financial institution; 60 mos. trg. or 60 mos. exp. in state &/or federal laws & regulations & agency's policies & procedures governing investment securities & investment securities examining practices & in performing securities examinations; 1 course or 3 mos. exp. in public relations; 1 course or 3 mos. exp. in general management principles/techniques; valid driver's license.

-Or 24 mos. exp. performing criminal investigations; 60 mos. trg. or 60 mos. exp. in state &/or federal laws & regulations & agency's policies & procedures governing investment securities & investment securities examining practices & in performing securities examinations; 1 course or 3 mos. exp. in public relations; 1 course in technical writing or 3 mos. exp. writing technical reports & correspondence; 1 course or 3 mos. exp. in general management principles/techniques; valid driver's license.

-Or 12 mos. exp. as Securities Analyst 3, 66613.

-Or equivalent of Minimum Class Qualifications for Employment noted above.

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

Not applicable.

UNUSUAL WORKING CONDITIONS:

Travel may be required.