



# *director of* **SECURITIES** *& investments wanted.*

*We invite you to explore this unique career opportunity.*

*The Connecticut Department of Banking is seeking a dynamic leader with executive-level management experience in the securities industry to serve as the Director of the Securities and Business Investments Division. The division is responsible for the registration of securities and business opportunity (franchise) offerings for sale in Connecticut and the registration of broker-dealers and investment advisers. The division conducts examinations of broker-dealers and investment advisers and enforces the state's securities and business opportunity laws. The director is responsible for directing the programs and operations of the division.*

*In addition to a securities background, the ideal candidate will have the management skills necessary to lead their staff through team building and collaboration. They will have experience mentoring and coaching staff of all levels, including management, and should possess the skills, dedication and enthusiasm required to achieve organizational change, effective program evaluation and process improvement. This position reports directly to the Banking Commissioner, has four direct reports and a staff of thirty employees.*

## **Ideal candidates will have:**

- Experience in accomplishing staff results by setting job expectations and productivity standards, by planning, monitoring and appraising job results, and through effective performance management.
- Advanced knowledge and understanding of employee relations; experience in employee training and development and performance management; superior coaching and mentoring skills.
- Experience in successfully directing and improving major programs supported by a staff of ten or more employees.
- Comprehensive experience with organizational development and change management; demonstrated ability to achieve organizational efficiencies.
- Ability to establish and maintain cooperative and productive work relationships with colleagues, agency employees, external government contacts and stakeholders.

- Effective communication skills and exceptional interpersonal skills; presentation and public speaking skills preferred.
- Ability to work effectively with high-level officials at law enforcement and government agencies including The Federal Bureau of Investigation, The State's Attorney's Office, The Attorney General's Office and law enforcement.
- General and working knowledge of the securities industry and related regulatory agencies; working knowledge of accounting and finance principles and applicable laws and regulations enforced by the agency.

**Preferred Qualifications:** A working knowledge of white collar crime and financial investigatory techniques.

Candidates who hold, or have previously held FINRA securities license

## EXPERIENCE AND TRAINING

The Director of Securities and Business Investments requires a General Experience of ten (10) years professional experience in business, accounting, finance or public administration. Two (2) of the ten (10) years must be in a capacity responsible for strategic business planning, organizational development, management development, and process improvement for a major program or division.

### *Substitutions Allowed:*

College training in Finance or a related field may be substituted for the General Experience on the basis of fifteen (15) semester hours equaling one-half of a year experience, up to four (4) years for a bachelor's degree. A master's degree in business administration, accounting, or a closely related field may be substituted for one additional year of the General Experience. For a complete description of duties, follow the job description link [Banking Director of Securities and Business Investments Division](#)

## COMPENSATION PACKAGE

The total compensation plan includes a generous benefits package worth over 50 percent of the employee's salary, including a state pension plan, optional 457 deferred compensation plan, and extensive medical and dental coverage. Generous vacation accruals, sick leave and personal leave plus 12 state holidays allow for excellent work-life balance. For additional information on employee benefits visit: [2016 Employee Healthcare Planner](#) and the [Supplemental Benefits Manual](#)

### Application Instructions:

To apply, submit a cover letter, resume or curriculum vitae, and the [state employment application](#) to:

Victoria Soucy  
Department of Banking  
260 Constitution Plaza  
Hartford, CT 06103

Fax: 860-622-2925

Email: [DOB.HR@ct.gov](mailto:DOB.HR@ct.gov)

Please write "Securities Job Application" in the email subject line.

The recruitment will remain open until the position is filled.



### AN AFFIRMATIVE ACTION/EQUAL OPPORTUNITY EMPLOYER

The State of Connecticut is an equal opportunity/affirmative action employer and strongly encourages women, minorities, persons with disabilities and military veterans to apply.