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## Position Opening

### Director, Division of Securities

**RECRUITMENT OPEN TO:** This is an open competitive recruitment, open to all qualified applicants. This is a full-time permanent Senior Management Service position that is appointed by and reports directly to the Commissioner of the Office of Financial Regulation.

**APPROXIMATE ANNUAL SALARY:** \$75,000-100,000 plus a generous benefits package.

**POSITION RESPONSIBILITIES:** Responsible for the enforcement of the provisions of Chapter 517, Florida Statutes, the Securities and Investor Protection Act and regulations promulgated thereunder, which govern the offer, sale, purchase, and registration of securities, as well as the licensing of securities industry professionals and investment advisers.

**JOB DESCRIPTION:** The Director is responsible for the following:

- Overall management and direction of the Securities staff, budget, program, operations, and decision making process necessary for conducting daily operations of the regulatory program areas;
- Disseminating information pertinent to statutes, judicial decisions, or administrative rules to staff of Tallahassee and the regional field offices;
- Representing the Office of Financial Regulation in matters relative to areas of responsibility as delegated;
- Work with the Commissioner and Chief of Staff of the Office of Financial Regulation to develop agency policy with respect to program areas within Securities; attending hearings and prepare legislative revisions as needed to effectively regulate program areas as delegated by the laws of the State of Florida; working with legislators and their staff on bills, legislation, or budget as required;
- Working with industry leaders, members, regulators, and consumer groups to provide relative information and interpretation of policy within program areas of responsibility;
- Overseeing functions of Bureaus of Securities Regulation and Regulatory Review, the Chief Counsel and staff attorneys within the Division of Securities;
- Performing other managerial duties and responsibilities as assigned.

**TO QUALIFY:** A bachelor's degree from an accredited university and at least 7 years' experience in the securities industry. Graduation from an ABA accredited law school with a J.D. or LLB, admission to the Florida Bar, and experience as a practicing attorney in the areas of

white collar crime prosecution or defense, securities law, business law, or civil litigation, or a combination of experience in these areas is preferred. Strong managerial skills are a must. Background check and fingerprinting are required.

**POSITION LOCATION:** Tallahassee, FL

**RESUMES WILL BE ACCEPTED UNTIL:** Position is filled. Applications will be reviewed upon receipt.

**SUBMIT COVER LETTER AND RESUMES/DIRECT INQUIRIES TO:**

Karen Fisher, Chief of Staff  
200 East Gaines Street  
Fletcher Building, Suite 118  
Tallahassee, FL 32399  
(850) 410-9712

If you prefer to submit resume electronically, please submit via email to:

karen.fisher@flofr.com

In subject line please reference: Director of Securities position