

**Office of Financial Regulation
Division of Securities**

Miami, Area Financial Manager – Bureau of Enforcement

Position Overview:

The Area Financial Manager is a management position and reports directly to the Financial Administrator of the Division of Securities, Bureau of Enforcement, who reports to the Bureau Chief.

Brief Job Description:

Will be proficient in all phases of the securities examination process.

Plans, directs, organizes, and supervises an office staff in a designated geographic area that examines and investigates the operations of registered and unregistered dealers, agents, issuers, promoters and investment advisers in accordance with State and Agency policies and procedures.

Reviews the work product of all examiners, analysts and supervisors within an assigned geographic area for accuracy, timeliness, sufficiency and compliance with OFR policies and procedures.

Assists with preliminary inquiries, compliance and enforcement examinations and customer complaint reviews as needed. Conducts compliance and enforcement examinations and customer complaint reviews on an interim basis due to changing priorities in the office or turnover of examinations staff.

Recruits, hires, trains and motivates office staff. Responsible for formulating and assisting in the formulation of policies and procedures relating to personnel administration.

Provides timely and objective feedback and evaluation of staff members, including providing guidance to other managers on how to motivate staff and address a wide range of performance issues. Ensures appropriate recognition to top performers and remedial action with respect to poor performers.

Performs other related work as required.

Travel requirement:

Approximately 10% annually

Annual Salary Range:

\$52,752.48 - \$99,396.52

Anticipated annual starting salary:

\$62,500.00

Minimum Qualifications:

The OFR is seeking candidates who possess the following minimum qualifications:

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- A bachelor's degree or higher from an accredited college or university
- A minimum of three (3) years of experience in a management and/or supervisory position
- Work experience relating to securities registration, examinations, compliance and/or enforcement activities
- Knowledge of state and federal securities laws, rules, regulations and compliance requirements