



Attorney Adviser

The Miami Regional Office of the U.S. Securities and Exchange Commission is seeking an individual to serve as an Attorney in the Broker-Dealer Examination Program to conduct on-site examinations of registered broker-dealers, municipal advisors, transfer agents, and self-regulatory organizations for compliance with the federal securities laws. Must be able to travel to the registrant's premises to conduct fact finding reviews through a variety of means including, obtaining and analyzing original firm documents, and interviewing witnesses. Position requires demonstrated skill to conduct complex legal research and writing.

Salary ranges:

SK-11: \$75,166 - \$123,610

SK-12: \$90,084 - \$148,158

SK-13: \$107,129-\$176,176

Travel: You may be expected to travel more than 25%.

BASIC REQUIREMENT: All applicants must possess the following:

- Applicants must possess a J.D. or LL.B. degree

AND

- An Active membership of the bar in good standing in any state, territory, of the United States, the District of Columbia, or Commonwealth of Puerto Rico.

FOREIGN EDUCATION: If you are using education completed in foreign colleges or universities to meet the qualification requirements, you must show the education credentials have been evaluated by a private organization that specializes in interpretation of foreign education programs and such education has been deemed equivalent to that gained in an accredited U.S. education program; or full credit has been given for the courses at a U.S. accredited college or university. For further information, visit:

<http://www.ed.gov/about/offices/list/ous/international/usnei/us/edlite-visitus-forrecog.html>

MINIMUM QUALIFICATION REQUIREMENT: In addition to meeting the basic requirement, applicants must also meet the minimum qualification requirement.

SK-11: Applicant must possess a J.D. degree and be an active member of the bar in good standing (any jurisdiction)

SK-12: Applicant must possess a J.D. degree and be an active member of the bar in good standing (any jurisdiction). In addition, applicant must have one year post J.D. experience as a practicing attorney OR possess a LLM.

SK-13: Applicants must have two years post J.D. experience as a practicing attorney, one year of which was in the specialty area of the position to be filled and which has equipped the applicant with the particular knowledge, skills, and abilities to successfully perform the duties of the position OR possess a LLM and have one year post LLM experience as a practicing attorney.

Who may apply?: This position is open to all U.S. citizens and persons lawfully admitted for permanent residence and seeking citizenship as outlined in 8 U.S.C. 1324b(a)(3)(B)

To apply: Please send the following documents addressed to “Hiring Committee, Broker-Dealer Exchange” to OCIE-BDXResumes@SEC.GOV by June 4, 2019.

- Resume
- A cover letter outlining your relevant background and experience (which should be addressed in the resume)
- [Attorney Appointment Application](#)
- Documentation showing that you are an active member of the bar in good standing
- See link about Broker Dealer at https://www.sec.gov/about/offices/ocie/ocie_infofor.shtml#bd and see link for Miami Regional Office at <https://www.sec.gov/regional-office/miami>

Equal Employment Opportunity Statement

The United States Government does not discriminate in employment on the basis of race, color, religion, sex (including pregnancy and gender identity), national origin, political affiliation, sexual orientation, marital status, disability, genetic information, age, membership in an employee organization, retaliation, parental status, military service, or other non-merit factor.