



U.S. Securities & Exchange Commission

Attorney Vacancy

The mission of the U.S. Securities and Exchange Commission (SEC) is to protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation. The Office of Compliance Inspections and Examinations (OCIE) is hiring an attorney with varying level of experience. This position is in the **Office of Clearance & Settlement** and only **ONE** selection will be made in **New York, NY** or **Chicago, IL**.

Salary Ranges:

Location	SK-12	SK-13
Chicago, IL	\$93,692 - \$154,090	\$111,419 - \$183,231
New York, NY	\$97,357 - \$160,119	\$115,778 - \$190,400

OCIE's Office of Clearance and Settlement

The Office of Clearance and Settlement (OCS) within OCIE is responsible for examining clearing agencies, some of which have been designated as systemically important financial market utilities. OCS conducts risk management examinations, develops reports of findings, and provides advice and recommendations for examinations of registered and exempted clearing agencies

Office of Compliance Inspections and Examinations

OCIE protects investors through administering the SEC's nationwide examination and inspection program. Examiners in Washington, DC and in the Commission's 11 regional offices conduct examinations of the nation's registered entities, including broker-dealers, transfer agents, investment advisers, investment companies, private funds, the national securities exchanges, clearing agencies, the nationally recognized statistical rating organizations, the Financial Industry Regulatory Authority ("FINRA"), the Municipal Securities Rulemaking Board, and the Public Company Accounting Oversight Board. OCIE's mission is to protect investors, ensure market integrity and support responsible capital formation through risk-focused strategies that: (1) improve compliance; (2) prevent fraud; (3) monitor risk; and (4) inform policy. The examination program plays a critical role in encouraging compliance within the securities industry, which in turn also helps to protect investors and the securities markets generally.

Job Details

- Conduct research on various laws/rules/regulations, notably the Payment, Clearing and Settlement Supervision Act of 2010 (Title VIII of the Dodd Frank Act) and the Clearing Agency Standards (Rules 17Ad-22(a)-(c) and (e) of the Securities Exchange Act of 1934).
- Review and analyze a variety of documents related to risk management examinations; and develop recommendations to resolve problems or issues encountered in an assigned area of specialization or focus.
- Gather evidence to support preliminary findings of violations, and prepare reports of findings as

well as correspondence to an entity outlining deficiencies and corrective actions to be taken.

- Review and assess corrective actions taken by registrants in response to examination findings to determine compliance with applicable rules and regulations, and making recommendations to supervisors regarding resolution of concerns.
- Work with senior examiners and attorneys in the writing of legal memoranda describing relevant law and factual bases to support referrals of examination findings to other divisions or offices.
- Facilitate conferences and interview a variety of company personnel concerning operational and examination issues to determine possible regulatory violations.
- Represent the SEC in meetings with staff of other federal agencies and the securities industry, respond to inquiries concerning the work of the SEC, and maintain productive work relationships with federal and state agencies and the industry.

Minimum Qualifications:

- 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: 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 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.

Desired Qualifications:

- Experience identifying, managing, monitoring and mitigating risks of regulated financial services firms.
- Knowledge of the risk management operations of clearing agencies or any other entity that operates a multilateral system for the purpose of transferring, clearing, or settling payments, securities, or other financial transactions among financial institutions or between financial institutions and persons.
- Knowledge of and experience with managing the risks presented by a large portfolio of securities such as credit, liquidity, and operational risks. This knowledge and experience would include background with models and other methods to measure that risk, such as Value at Risk (“VaR”); policies, procedures and processes to mitigate that risk, including margin and hedging strategies; and governance principles to oversee the management of such risk.

How to apply: (*Submission deadline – Thursday, June 13, 2019*)

Please send the following documents addressed to “Hiring Committee, Office of Clearance and Settlement” to OCIE-OCSresumes@sec.gov.

- Resume
- Cover letter
 - Outline your relevant background and experience (which should be addressed in the resume)
 - Indicate your preferred SEC Location (Chicago, IL or New York, NY)
- Documentation showing that you are an active member of the bar in good standing

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.