



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 SEC's Office Compliance Inspections and Examinations (OCIE) is responsible for conducting examinations and inspections of registered entities. OCIE's FINRA and Securities Industry Oversight (FSIO) group is responsible for examining the Financial Industry Regulatory Authority (FINRA) and the Municipal Securities Rulemaking Board (MSRB). OCIE's FSIO group is hiring an entry-level attorney. This position is to be based in either Washington, DC or Los Angeles, CA.

Office Location(s)	Salary Range for a SK-11	Salary Range for a SK-12
Los Angeles, CA	\$80,264 - \$131,993	\$96,194 - \$158,206
Washington, D.C.	\$78,951 - \$129,835	\$94,621 - \$155,619

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, FINRA, MSRB, 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.

OCIE's FINRA and Securities Industry Oversight group

The FSIO group, within OCIE, is responsible for conducting inspections of FINRA and the MSRB. FSIO inspects the following type of issues or program areas at FINRA or the MSRB: 1) market surveillance; 2) sales practice, financial/operational, Anti-Money Laundering, and trading examinations; 3) investigations and enforcement; 4) arbitration; 5) operational and systems compliance; 6) risk assessments; and 7) governance. FSIO also conducts oversight examinations of broker-dealers and works with the policy divisions on SEC rules, Self-Regulatory Organization rules, and market structure issues.

Job Details

- Participate in planning and conducting securities compliance examinations, and develop reports of findings, and provide recommendations based upon examinations
- Provide advice and technical support for examinations, investigations, and enforcement activities

- Conduct research, review and analyze a variety of documents related to securities compliance examinations and market regulation, and develop recommendations to resolve problems or issues encountered
- Ability to work both individually and as part of a team
- Some travel is required

Minimum Qualifications:

- 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

Desired Qualifications:

- Ability to perform compliance inspections and examinations of regulated entities
- Knowledge of, and interest in, federal securities laws
- Ability to communicate effectively in writing and verbally
- Preferably 1-3 years' experience in the securities field

How to apply (*Submission Deadline – Wednesday, May 29, 2019*):

Please email the following documents to < OCIE-FSIOresumes@sec.gov > using the Subject Line “**Hiring Committee, FINRA and Securities Industry Oversight**”:

- Resume
- Cover letter
 - Outline your relevant background and experience (which should be addressed in the resume)
 - Indicate your desired SEC Location (Max 2)
- 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.