

**DELAWARE DEPARTMENT OF JUSTICE  
JOB OPENING**

**Opening Date: November 30, 2022**

**Closing Date: Until Filled**  
*(First applicant review December 16, 2022)*

**Registration Specialist (Pay Grade 13)**  
**Fraud & Consumer Protection Division**  
**Investor Protection Unit**  
**New Castle County**

Job Responsibilities and Duties:

The Delaware Department of Justice is seeking an exceptional and highly motivated individual to join the Fraud and Consumer Protection Division, Investor Protection Unit as a Registration Specialist. The Registration Specialist will be responsible for carrying out a variety of duties relating to the Investor Protection Unit that involve the registration of securities, and registration and examination of firms. The Division seeks an individual with a strong commitment to working in the public interest.

The successful candidate will be responsible for performing the following in connection with firm and securities registrations:

- processing all applications for all firm registrations to do business in Delaware as an investment advisor or broker dealer; this includes a review of documents and disclosures submitted by applicants, seeking additional information where needed, and making an initial recommendation regarding whether registration should be granted;
- processing all securities offerings, notice filings and registrations received by the Unit, which includes a review of initial, renewal and termination filings, as well as amendments thereto, and assists with Investment Advisor examinations;
- preparing and submitting timely reports;
- maintaining records of securities filings;
- maintaining professional contacts and strong lines of communication and coordination with state and federal securities regulators and securities self-regulatory organizations.

In addition, the Registration Specialist will participate in Investment Adviser Examinations with other team members, which will include drafting document requests, participating in interviews of firm leadership, auditing documents, and drafting communications about any deficiencies noted. Strong communication skills and the ability to respond quickly to inquiries on registration applications and filings is required. Some travel to training conferences, particularly within the first year of employment, is required. Additional duties and special projects maybe assigned by the Director of Investor Protection.

Preferred Qualifications:

Candidates with one or more of the following are encouraged to apply:

- a degree in Accounting, Business Administration, Finance or a related field;
- significant experience in investigation of financial fraud;
- experience working for an investment adviser or broker dealer; or
- experience in compliance.

**Internal Delaware Department of Justice Applicants: Please submit an updated Resume or summary of work experience to the Director of Human Resources.**

**External Applicants: In order to be considered for this position, external applicants must submit Resume and the Delaware Department of Justice Application (please see link): <http://attorneygeneral.delaware.gov/executive/hr/job-application/>**

**OR external applicants can mail Resume and the Delaware Department of Justice Application to: Delaware Department of Justice, Human Resources, 820 N. French Street, 6<sup>th</sup> Floor, Wilmington, DE 19801, OR E-mail to: DOJHR@delaware.gov OR Fax to: 302-577-5866. EOE.**