

Click one of these links to see the Job Description for that class:

| Job Code | Job Title |
|------------------------|--|
| X21512 | Securities Examiner |
| X21513 | Securities Examiner Senior |

Securities Examiner

Job Family

DESCRIPTION OF OCCUPATIONAL WORK

This work involves the examination and detailed analysis of records of establishments/institutions to determine the financial condition of the establishment/institution, its policies and procedures, the activities of its departments as related to applicable laws, rules, regulations, and the status of any outstanding formal or informal enforcement actions, and its management; prepares reports concerning financial condition and operation procedures; performs related work as required.

Levels within this series are distinguished by the scope of work assigned and the size/complexity of the establishments/institutions being examined.

Securities Examiner

X21512

DISTINGUISHING CHARACTERISTICS: (A position is assigned to this class based on the scope and level of work performed as outlined below.)

Under general supervision, supervises, and/or participates in the examination and analysis of records of small/medium establishments/institutions; prepares reports concerning their financial condition and operating procedures; performs related work as required.

EXAMPLES OF WORK: (A position may not be assigned all the duties listed, nor do the listed examples include all the duties that may be assigned.)

Reviews complex data regarding material assets, net worth, liabilities, capital accounts, surplus, income, and expenditures to ensure compliance with applicable laws, rules, regulations, statements of policy and outstanding enforcement actions.

Analyzes client files, business practices, disclosures, and policies and procedures for compliance with applicable laws, rules, regulations, statements of policy and outstanding enforcement actions.

Analyzes complete financial statements and other reports and exhibits, to ensure compliance with prescribed laws, rules, and regulations, and to assess the establishments operating results, earnings, profits, and other financial data.

Writes the report of examination relevant to the areas examined to submit to the examiner in charge or supervisor for integration into the formal report.

Makes recommendations about possible enforcement action. Assist in related enforcement actions, including representing the Department as subject matter expert or evidentiary witness, if necessary.

KNOWLEDGE, SKILLS, AND ABILITIES REQUIRED: (These are needed to perform the work assigned.)

Knowledge of: the industry, applicable state and federal laws, rules, regulations, and policies; industry guidelines; theory and practice of higher accounting, examining and industry principles; commercial law and general economic conditions; overall management and operations of the institutions examined; systems, procedures, and policies of management.

Ability to: examine expense vouchers and disbursements; prepare trial balances; check internal controls; verify assets and liabilities; deal effectively with others including co-workers and industry officers and staff; communicate effectively, both orally and in writing; accurately analyze financial and non-financial information and come to logical conclusions; interpret applicable state and federal laws, rules, regulations, policies and industry guidelines; conduct exit interviews with management.

MINIMUM QUALIFICATIONS: (Applicants will be screened for possession of these qualifications. Applicants who need accommodation in the selection process should request this in advance.)

Bachelor's Degree from an accredited college or university in a business-related field (accounting, business administration, business law, economics, finance, etc.), including at least six hours in accounting.

LEGAL REQUIREMENTS: (These qualifications are mandated by federal/state laws, statutes, and/or regulations.)

None.

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Securities Examiner Senior

X21513

DISTINGUISHING CHARACTERISTICS: (A position is assigned to this class based on the scope and level of work performed as outlined below.)

Under limited supervision, supervises and/or participates in the examination of establishments of large size or complexity requiring comprehensive, detailed analysis of the financial condition of the establishment, its policies and procedures, the activities of its departments as related to applicable laws, rules, regulations, and the status of any outstanding formal or informal enforcement actions, and its management; prepares reports concerning the financial condition and operating procedures; performs related work as required.

EXAMPLES OF WORK: (A position may not be assigned all the duties listed, nor do the listed examples include all the duties that may be assigned.)

Schedules, distributes, balances, and guides the work assignments of co-workers in accordance with established workflow/assignment requirements to assist supervisory staff in the timely accomplishments of the assigned workload.

Monitors and reports on the work performance of co-workers to determine overall conformity to established timetables and quality standards and to document and communicate employee production levels and training needs.

Trains co-workers, as directed, in specific task and job practices and procedures of financial examination to improve and maintain the performance levels of these employees.

Plans and administers examinations to determine the financial condition and performance of the entity; to ensure compliance with applicable laws, rules, regulations, statements of policy, and outstanding enforcement actions, to comply with state and federal laws, rules, and regulations; and to make recommendations and correct deficiencies.

Coordinates all aspects of the examination with company/institution management to facilitate the completion of an accurate examination and to keep management informed of tentative findings.

Writes the formal report of examination including the editing and integration of various reports compiled by subordinate staff to document examination findings, make recommendations, correct deficiencies, and comply with directives.

Organizes and presents the exit interview with management to answer any questions, inform management of the contents of the formal report of examination and gain commitment for corrective action.

Reviews complex data regarding material assets, net worth, liabilities, capital accounts, surplus, income, and expenditures to ensure compliance with applicable laws, rules, regulations, statements of policy and outstanding enforcement actions.

Analyzes client files, business practices, disclosures, and policies and procedures for compliance with applicable laws, rules, regulations, statements of policy and outstanding enforcement actions.

Analyzes complete financial statements and other reports and exhibits to ensure compliance with prescribed laws, rules and regulations, and to assess the establishments operating results, earnings, profits and other financial data.

Writes the report of examination relevant to the areas examined and submits to the examiner in charge or supervisor for integration into the formal report.

Makes recommendations regarding operations and financial position of a company/institution to improve operations and correct deficiencies.

Makes recommendations about possible enforcement action. Participate in related enforcement action, including representing the Department as subject matter or evidentiary witness, if necessary.

[KNOWLEDGE, SKILLS, AND ABILITIES REQUIRED: \(These are needed to perform the work assigned.\)](#)

Knowledge of: the commercial law and general economic conditions; overall management and operations of the institutions examined; systems, procedures, and policies of management; administration of an examination, to include procedures, methods and reporting requirements.

Ability to: accurately analyze financial and non-financial information and come to logical conclusions; interpret applicable state and federal laws, rules, regulations, policies, and industry guidelines; conduct exit interviews with management; read and understand charters and bylaws; determine compliance with laws, rules and regulations; evaluate overall operations including corporate structure, systems and procedures, policies of management, management effectiveness and various legal and technical problems as revealed by the examination; train, supervise and evaluate subordinate staff; present comments, opinions and factual information clearly and concisely; determine potential risks; and plan/organize time and resources in an effective manner.

[MINIMUM QUALIFICATIONS:](#) (Applicants will be screened for possession of these qualifications. Applicants who need accommodation in the selection process should request this in advance.)

Bachelor’s Degree from an accredited college or university in a business-related field (accounting, business administration, business law, economics, finance, etc.), including at least six hours in accounting. And, at least one year of examination, audit, compliance, or investigative experience.

[LEGAL REQUIREMENTS:](#) (These qualifications are mandated by federal/state laws, statutes, and/or regulations.)

None.

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[SPECIAL NOTES APPLICABLE TO ALL LEVELS:](#)

State agencies are responsible to evaluate each of their positions to determine their individual overtime eligibility status as required by the Fair Labor Standards Act (FLSA).

[Established: 10/1974](#)

Note: Classification-specification is subject to change. Please refer to the Nebraska State Personnel Job Specification website at <https://das.nebraska.gov/personnel/classcomp/jobspecs/jobspecs.html> to ensure this represents the most current copy of the description.

The following is a summary of changes made to this class specification.

| Section | Change Description | Effective Date |
|---|--|----------------|
| Title Change | From Examiner II and III to Securities Examiner and Securities Examiner Senior | 07/1990 |
| Examples of Work and Minimum Qualifications | Added example; updated language; increased MQs. | 6/01/2022 |