

**CLASS TITLE:       ASSOCIATE DIRECTOR AND SUPERINTENDENT  
                          OF BANKING AND SECURITIES**

**Class Code: 02612600  
Pay Grade: 41  
EO Code: A**

**CLASS DEFINITION:**

**GENERAL STATEMENT OF DUTIES:** To perform responsible administrative and supervisory work in planning, coordinating, implementing and controlling the statutory functions of the Division of Banking and Securities in the Department of Business Regulation; to plan, direct, and supervise the various functions within the Division of Banking and Securities; and to do related work as required.

**SUPERVISION RECEIVED:** Works under administrative direction of a superior with wide latitude for the exercise of independent judgment and initiative; work is reviewed through conferences and submitted reports for conformance with policy, provisions of laws, rules and regulations.

**SUPERVISION EXERCISED:** Plans, organizes, directs and reviews the work of professional, technical and clerical personnel.

**ILLUSTRATIVE EXAMPLES OF WORK PERFORMED:**

To perform responsible administrative and supervisory work in planning, coordinating, implementing and controlling the statutory functions of the Division of Banking and Securities in the Department of Business Regulation.

To plan, direct, and supervise the various functions within the Division of Banking and Securities.

To assist the Director by relieving him/her of administrative and regulatory details involving contact with and supervision over personnel and activities within the Banking and Securities Division, including contact with state and federal officials, law enforcement agencies, trade and licensing organizations, attorneys, licensees, members of the legislature and the general public.

To confer with section heads for guidelines and assistance in the preparation of reports, investigations, legislation and the application and interpretation of policies, standards, laws and regulations;  
to supervise and implement provisions of state laws regulating state chartered financial institutions, securities dealers, related organizations and individual licensees.

To implement laws and regulations applicable to licensing, examining and regulating of banking institutions and franchising and the registration of charitable and fund-raising organizations and regulation  
in the securities industry.

To perform special studies, projects and assignments and to advise various commissions, members  
of the legislature and other agencies of state on matters relevant to the banking and securities industry.

To plan, coordinate and review examinations of state chartered financial institutions to ensure conformance with statutory requirements and the solvency of the institution.

To review and/or prepare reports of facts and findings regarding financial institutions and draft recommendations for corrective action when required.

To review and access applications for the creation of new financial institutions or securities firms

to ensure conformance with applicable licensing laws.

As assigned, to conduct or participate in public hearings related to the banking and securities industry.

To do related work as required.

## **REQUIRED QUALIFICATIONS FOR APPOINTMENT:**

**KNOWLEDGES, SKILL, AND CAPACITIES:** A thorough knowledge of business administration practices including accounting principles; a thorough knowledge of federal and state banking and securities laws; a thorough knowledge of the methods and techniques of inspecting or investigating records of financial institutions; a working knowledge of financial statements; a working knowledge of administrative planning and the ability to plan, coordinate, organize and supervise the work of a staff of subordinates, the ability to prepare reports, recommendations and decisions on facts developed therein; the ability to meet and work effectively with officials of other states and local government, agencies; and related capacities and abilities.

## **EDUCATION AND EXPERIENCE:**

Education: Such as may have been gained through: graduation from a four year college of recognized standing with specialization in business administration, including or supplemented by courses in advanced accounting; and

Experience: Such as may have been gained through: considerable experience in employment in a responsible supervisory and administrative position related to the banking and securities industry, in a public regulatory agency or in private industry which has involved the application of modern business principles and techniques.

Or, any combination of education and experience that shall be substantially equivalent to the above education and experience.

Class Revised: November 12, 2005