



Government of the Virgin Islands Securities Registration Examiner(US23-1)

SALARY	\$42,561.10 Annually	LOCATION	St. Thomas/ St. John, VI
JOB TYPE	Classified	JOB NUMBER	201904771
DEPARTMENT	[Office of the Lieutenant Governor-STT]	OPENING DATE	06/12/2025
CLOSING DATE	6/25/2025 11:59 PM Atlantic (Canada)		

Description

This position involves the reviewing and processing of original and renewal applications for the registration of mutual funds and investment companies, as well as broker/dealers, investment advisers, agents, and representatives.

An employee in this class reports to the Chief of Securities Registration and works under the general supervision of the Director of the Division of Banking and Insurance. The work is reviewed by supervisory personnel and the Director through conferences and reports.

Duties and Responsibilities

DUTIES (not all inclusive):

- Accepts, reviews and processes applications for the registration of mutual funds and investment companies.
- Accepts, reviews and processes original and renewal applications for the registration of broker dealers, agents, investment advisers, their representatives, and federally covered investment advisers.
- Coordinates the use of electronic filing systems by the Division's securities personnel.
- Examines and reviews the applications of registrants to ensure compliance with the Division's filing requirements.
- Performs other related duties as assigned by the Chief of Securities Registration or the Director.

Minimum Qualifications

Bachelor's Degree in Public Administration or a related field;

OR

An Associate's Degree in Business Administration, Public Administration or a closely related field with two (2) years of work experience in Government or the private sector;

OR

A High School Diploma/General Equivalency Diploma (GED) with four (4) years of work experience in the Government or the private sector.

Position Factors

FACTOR 1- KNOWLEDGE REQUIRED OF THE POSITION:

- Working knowledge of Microsoft Office programs
- Knowledge of the Virgin Islands Uniform Securities Act and applicable rules and regulations pertinent to the registration of individuals and entities engaged in securities transactions.
- Good oral and written communication skills.
- Ability to understand and apply statutes, rules and regulations as they relate to the securities industries. Ability to prepare clear and concise written reports.
- Ability to function in a collegial manner with co-workers.
- Ability to communicate effectively and professionally with members of the public.

FACTOR 2-SUPERVISORY CONTROLS:

Employee works under the supervision of a higher level officer. The employee carries out his/her assignments based on the urgency and priorities of the request for service. Work is reviewed through conferences and discussions.

FACTOR 3- GUIDELINES:

Guidelines include those regulating securities, including but not limited to practices, procedures and laws of Title 9 of the Virgin Islands Code.

FACTOR 4 COMPLEXITY:

The nature of the duties under this class is to review and process applications, maintain files, ensure compliance of securities registrants with the Division's policies and procedures, and coordinate with other employees for the orderly effectuation of electronic filing systems. The employee becomes efficient at performing his/her duties as the assignment becomes more familiar.

FACTOR 5 -SCOPE AND EFFECT:

The purpose of this position is to facilitate the regulatory process by ensuring compliances with the Division's securities registration requirements.

FACTOR 6 -PERSONAL CONTACT:

Contact is made with co-workers, members of the public and securities registrants.

FACTOR 7 -PURPOSE OF CONTACT:

Contact is made to coordinate electronic filing processes with co-workers, and to advise and provide information to applicants and the general public regarding registration requirements applicable to the securities industry.

FACTOR 8 -PHYSICAL DEMANDS:

Work is mostly sedentary.

FACTOR 9 - WORK ENVIRONMENT:

Work is performed in an office setting.

Employer

Government of the Virgin Islands

Address

United States

Territorywide, U.S. Virgin Islands , 00802

Phone

(340) 774-8588

Website

<http://www.dopusvi.org>

Securities Registration Examiner(US23-1) Supplemental Questionnaire

***QUESTION 1**

Do you have a Bachelor's Degree in Public Administration or a related field?

☐ Yes

☐ No

***QUESTION 2**

Do you have an Associate's Degree in Business Administration, Public Administration or a closely related field?

☐ Yes

☐ No

***QUESTION 3**

Do you have two (2) years of work experience in Government or the private sector?

☐ Yes

☐ No

***QUESTION 4**

Do you have a high school diploma or equivalent?

☐ yes

☐ no

***QUESTION 5**

Do you have four (4) years of work experience in the Government or the private sector?

☐ Yes

☐ No

***QUESTION 6**

Please Note: The answers you provide to the supplemental questions will be used to determine eligibility for this position. Please note that in order to qualify for a position, you must satisfy the criteria outlined in the minimum qualifications section of the vacancy announcement and submit supporting documentation. Failure to submit the required documents when applying may disqualify you from further consideration for employment.

Required documents (may vary based on minimum requirements): High School Diploma, High School Transcript, College Degree, College Transcripts, Evaluation of International Credentials (Only education from an accredited school will be accepted), DD214, Proof of a Name Change (Marriage Certificate or Valid I.D), Certifications, Specialized Licenses, Proof of Citizenship (Birth Certificate, U.S. Passport, or Naturalization Certificate), Valid ID, or Resume.

Attaching a resume does not supersede any of these requirements. Your responses pertaining to specific work experience must be clearly shown in the area for work history on your application.

Do you Accept?

☐ Yes

☐ No

▪ Required Question