



STATE OF CALIFORNIA
Department of Business Oversight



EXEMPT APPOINTMENT ANNOUNCEMENT
SENIOR DEPUTY COMMISSIONER, DIVISION OF
CORPORATIONS

FINAL FILING DATE: 12/31/2014

EDMUND G. BROWN JR., Governor

Anna M. Caballero, Agency Secretary
Jan Lynn Owen, Commissioner of Business Oversight

CALIFORNIA STATE GOVERNMENT SUPPORTS EQUAL OPPORTUNITY TO ALL REGARDLESS OF RACE, COLOR, CREED, NATIONAL ORIGIN, ANCESTRY, SEX, MARITAL STATUS, DISABILITY, RELIGIOUS OR POLITICAL AFFILIATION, AGE OR SEXUAL ORIENTATION.

IT IS AN OBJECTIVE OF THE STATE OF CALIFORNIA TO ACHIEVE A DRUG-FREE STATE WORKPLACE. ANY APPLICANT FOR STATE EMPLOYMENT WILL BE EXPECTED TO BEHAVE IN ACCORDANCE WITH THIS OBJECTIVE, BECAUSE THE USE OF ILLEGAL DRUGS IS INCONSISTENT WITH THE LAW OF THE STATE, THE RULES GOVERNING CIVIL SERVICE, AND THE SPECIAL TRUST PLACED IN PUBLIC SERVANTS.

DUTIES/RESPONSIBILITIES:

Under the direction of the Commissioner of Business Oversight, the Senior Deputy Commissioner for the Division of Corporations (Senior Deputy) provides general direction to the Deputy Commissioners over Broker-Dealers and Investment Advisors, Mortgage Lending, and Financial Services and is responsible for the regulation of state-licensed financial services entities. Specifically, the Senior Deputy may exercise the powers necessary for the administration of the laws relating to the regulation of broker-dealers, investment advisors, escrow companies, payday companies, mortgage loan originators, mortgage lenders, and consumer finance lenders. The Senior Deputy serves as the principal advisor to the Commissioner of Business Oversight with respect to the laws administered under the Division of Corporations' Investment Program and Lender-Fiduciary Program, and is responsible for the overall management and operations of the Division of Corporations.

The Senior Deputy's responsibilities include, but are not limited to, the licensing and regulation of securities broker-dealers, investment advisors, broker-dealer agents, and investment advisor representatives; licensing and regulating independent escrow companies, consumer and commercial finance companies, and mortgage bankers. Supports the issuance of such rules and regulations consistent with law deemed necessary or advisable in executing the powers, duties, and responsibilities of the Division of Corporations. Acts as liaison to industry, licensee, consumer, and other external stakeholder groups. Maintains positive working relationships with national securities and consumer lending associations interested in the Division's activities.

Recommends modification of proposed legislation for consistency with the Division programs and policies. Oversees the development and implementation of regulations adopted by the Department in compliance with the Administrative Procedures Act and legislatively mandates standards and requirements.

GENERAL QUALIFICATIONS:

Candidate must possess essential personal qualifications including integrity, initiative, dependability, good judgment, and ability to work cooperatively with others.

DESIRABLE QUALIFICATIONS:

1. Demonstrated knowledge and understanding of California and federal law, regulations, policies and programs including the Government Code, Financial Code and other applicable laws and regulations.
2. Demonstrated ability to communicate effectively with individuals and in large and small groups including presentations to Licensees and/or executive staff stakeholders, departmental executives, State executives and other governmental agencies.
3. Demonstrated leadership ability in motivating and leading a multidisciplinary team and/or managerial experience directing a multidisciplinary professional and administrative staff including experience in team development, strategic planning and performance management.
4. Demonstrated ability to develop cooperative working relationships with representatives of all levels of government, the public, departmental executives and other governmental agencies.
5. Strong leadership skills and experience in change management, policy development and program administration.

CONDITIONS OF EMPLOYMENT:

The Senior Deputy Commissioner of the Division of Corporations for the Department of Business Oversight is appointed by the Governor, subject to Senate confirmation, and shall hold the office at the pleasure of the Governor (i.e. "at will" employment): therefore, the Senior Deputy Commissioner of the Division of Corporations may be terminated from service at any time without notice, cause, or right of appeal.

COMPENSATION AND BENEFITS:

Please Note: that the actual monthly compensation to be paid to the successful candidate will be determined with reference to the experience, knowledge, skills and abilities of the candidate, and is further subject to budgetary constraints and considerations and will be at the discretion of the Governor's Office.

Benefits: Medical, dental, vision, life insurance, and retirement program under the California Public Employees' Retirement System (CalPERS). Additional information on benefits can be found at:

<http://www.calhr.ca.gov/employees/pages/salary-and-benefits.aspx>

HOW TO APPLY:

Qualified persons must complete and file an appointment application and current resume with the Office of the Governor. File the application on-line with the Governor's Office. Appointment applications from the Office of the Governor may be obtained through the Governor's Office website at: http://gov.ca.gov/m_appointments.php

In addition, all interested applicants must submit the following to the Department of Business Oversight:

- An original Standard State Application (STD.678) with titles and dates of experience
- A resume
- A two-page statement of qualifications addressing the desirable qualifications

Department of Business Oversight
1515 K Street, Suite 200
Sacramento, CA 95814
Attention: Jo Ann Shields

All applications will be reviewed and only the most qualified will be considered. References may be requested and contacted, and interviews may or may not be held.

TDD is Telecommunications Device for the Deaf and is reachable only from a phone equipped with a TDD Device.
California Relay (Telephone) service for the deaf or hearing-impaired:
From TDD Phone: 1-800-735-2929
From Voice Phone: 1-800-735-2922