

Securities Commission

Our mission at the Securities Division is to protect Missouri investors from fraud and ensure compliance with securities laws, all while fostering a culture of education and trust in the financial services industry.

As part of our efforts to strengthen our team and advance this mission, we are currently recruiting for two exciting positions that I believe would be a great fit for your graduating students:

[Compliance Examiner](#)

This role offers a unique opportunity to work directly with financial advisers and broker-dealers to ensure compliance with Missouri's securities laws. The position begins with 18-24 months of training in Jefferson City, after which the individual can relocate to either St. Louis or Kansas City—whichever suits them best. It's a fantastic opportunity for someone detail-oriented who enjoys problem-solving and working independently.

Essential Job Functions:

- Conduct thorough on-site and remote examinations of Missouri-registered investment advisers (IAs) and broker-dealers (BDs)
- Analyze complex financial records and systems to identify non-compliance and potential risks
- Collaborate with Division attorneys to interpret and apply securities laws and regulations
- Prepare comprehensive examination reports and deficiency letters
- Serve as a liaison between the Securities Division and the investment services industry
- Act as a financial services industry caretaker, guiding and supporting advisers to thrive within the framework of Missouri securities laws
- Contribute to the continuous improvement of examination processes and procedures

[Investor Protection & Education Specialist](#)

This newly created position focuses on educating Missouri investors statewide while managing outreach through television, radio, and social media. It's perfect for someone with a passion for communication, public engagement, and protecting consumers from fraud.

Job Functions and General Responsibilities for Investor Education:

- Under the direction of the Director of Registration and Investor Protection, makes and arranges public appearances on behalf of the Division throughout the State.
- In coordination with the Secretary of State's communication staff, build a social media plan, to include paid targeted marketing, to bring awareness to investor best practices, scam trends and investor protection tactics.
- Provide input on new/better ways to promote the Investor Protection Hotline to investors and vulnerable citizens.
- Responsible for the development and enhancement of educational and informational publications, including those that address general investor awareness matters through proper coordination with the Secretary of State's communication staff.

- Implement and develop the Division's educational outreach to school-age children to include the Division's connection to the Stock Market Game utilized in classrooms across the state. Plan and organize the recognition of top finishers by the Secretary and/or Commissioner.
- Works with the Secretary of State's communication staff, to promote appearances, in-person presentations and serves as the communications liaison for the Division, to include drafting press releases for the Division.
- Under the direction of the Director of Registration and Investor Protection, implement and develop presentations on investor education topics to provide in-person presentations.
- Identify readily accessible grant resources, which could be obtained through grant writing and utilized for purchase of promotional items to be distributed at investor education events.