

# ARIZONA DEPARTMENT OF REAL ESTATE

TEAM – “Together Everyone Achieves More”

The Department of Real Estate regulates the sale of subdivisions, un-subdivided lands, timeshares, condominiums, membership campgrounds, and cemeteries. It approves and monitors pre-licensing instruction, testing and continuing education courses. The Department also oversees the activities of licensees, investigates complaints against licensees and land developers, and participates in administrative hearings pertaining to their conduct.

## Compliance Specialist

Grade 19 – Annual Salary \$45,000 - \$49,000

Arizona Department of Real Estate [www.azre.gov](http://www.azre.gov)

100 North 15th Avenue, Suite 201, Phoenix, AZ. 85007

Applications can be submitted under reference number 514969 on AZ State Jobs

<https://azstatejobs.azdoa.gov/>

### JOB SUMMARY:

Works under minimal supervision. Performs comprehensive field audits involving the review analysis, the reconciliation of banking and financial statements, sales contracts, leases, and property management agreements, business processes and procedures, and applying Arizona Revised Statutes and Arizona Administrative Code to ensure compliance with applicable laws, rules, and regulations, with a heavy emphasis on reconciliation, auditing and accounting requirements of Property Management Trust Accounts. Work in non-routine situations and have a high level of interpersonal diplomacy. Compose correspondence requiring considerable discretion and involving sound judgment, replying to inquiries, presenting or requesting information. Writing analytical reports of audit findings; obtain agreement on corrective actions required of auditee, based on professional opinions, law, observation, and investigation upon which action by the Commissioner or the Attorney General may be based. May testify at administrative hearings to present facts and evidence obtained during the audit process. Performs related work as required. Acts as a lead auditor as required.

### JOB DUTIES:

- Perform comprehensive audits of financial, operational and transactional records of brokerages to verify compliance with the Arizona real estate statutes and rules. Audits may be conducted on-site or electronically from the office;
- Apply accounting and auditing techniques in the conduct of a comprehensive brokerage audit;
- Inspect, examine and analyze, including comprehensive research on complex real estate documents and financial statements/accounts;
- Prepare comprehensive summary reports with appropriate narrative and documentation to support findings of fact and recommendations for corrective action, referral for disciplinary action through an administrative hearing, referral for criminal prosecution to the Attorney General's Office and/or closure of the case file;

- Conduct interviews in person, video/remote, or by telephone;
- Interface with other governmental/investigative agencies and potentially testify at administrative hearings and/or in court of law as a witness for the Department as needed;
  - Assist walk-in constituents and respond to incoming e-mails and telephone calls; □
 Other duties as assigned.

## **KNOWLEDGE, SKILLS AND ABILITIES (KSA)**

### Knowledge of:

- Time and project/case management principles;
- Proven extensive knowledge of auditing/accounting;
- Knowledge of GAAP (Generally Accepted Accounting Principles), as well as, practices of auditing and accounting;
- Knowledge and proven experience in audit interviewing and investigative techniques
- Experience in applying/interpreting auditing and accounting techniques;
- Knowledge of Arizona Title 32 (Real Estate) Statutes; Arizona Title 13 (Criminal) Statutes; Real Estate Commissioner's Rules; other state and federal laws pertinent to real estate;
- Knowledge of Real Estate practices and documents;
- Knowledge of computerized software products and application, including as they are applied in auditing and accounting processes and investigations, case management, data source exploration, Internet access, digital photography, etc.;
- General knowledge of legal terminology and court proceedings.

### Skill in:

- Auditing and accounting methods and techniques;
- Researching, analyzing and interpreting state laws as they pertain to real estate;
- Strong written and oral communication skills, including proven experience in detailed report writing and proper grammar;
- Skill in using the internet as an investigative/auditing tool;
- Skill in the use of Microsoft Word, Excel, etc. to prepare and produce qualitative reports;
- Skill in testifying in Administrative Hearings; □ Skill in analytical decision making;
- Skill in interpersonal communication.

### Ability to:

- Analyze data and draw conclusions;
- Perform job duties effectively and effectively in a telework, in office, in field, video/remote, or hybrid (rotating schedule in office and telework) environment;
- Ability to organize, prioritize and perform multiple tasks to complete job functions expeditiously;
- Ability to work within deadlines;
- Ability to exercise good judgment in safeguarding confidential and sensitive information;
- Ability to manage sizeable caseload and meet predetermined measurable goals and objectives; and
- Ability and proven experience in recognizing fraud red flags.

### **SELECTIVE PREFERENCE(S):**

- 2-3 years of experience as an Auditor in a financial, accounting, or regulatory setting or a Bachelor's degree with emphasis in accounting or 3-5 years equivalent experience in a professional business environment with an emphasis on auditing and accounting.
- Arizona real estate brokers license – willingness to place license in an inactive status.

### **PRE-EMPLOYMENT REQUIREMENTS**

- Valid Arizona Driver's License

### **BENEFITS:**

The State of Arizona offers a comprehensive benefits package to include:

- Optional employee benefits including short-term disability insurance, deferred compensation plans, and supplemental life insurance
- Life insurance and long-term disability insurance
- Ten (10) paid holidays per year
- Health and dental insurance
- Retirement plan
- Vacation leave
- Sick leave

### **RETIREMENT:**

Positions in this classification participate in the Arizona State Retirement System (ASRS). Please note that enrollment eligibility will become effective after 27 weeks of employment.

### **CONTACT US:**

If you have any questions, please feel free to contact Abby Hansen at 602-771-7767 for assistance.

*Persons with a disability may request a reasonable accommodation such as a sign language interpreter or an alternative format by contacting Abby Hansen at [ahansen@azre.gov](mailto:ahansen@azre.gov). Requests should be made as early as possible to allow time to arrange the accommodation. Arizona State Government is an AA/EOE/ADA Reasonable Accommodation Employer.*