



An Equal Opportunity/Affirmative Action Employer

## **Announcement of Intention to Fill a Job Vacancy**

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### **Deputy Superintendent for Banking Division Applications, NS**

**Location: One State Street, New York City**

**Business Unit: Banking Applications**

**Negotiating Unit: Management Confidential (MC)**

**Please note that a change in negotiating unit may affect your salary, insurance and other benefits.**

**Salary: \$167,754 - \$207,762 (salary commensurate with experience)**

**Positions located within the New York City metropolitan area, as well as Suffolk, Nassau, Rockland, and Westchester Counties, are also eligible to receive an additional \$3,400 annual downstate adjustment.**

**Appointment Status: This is an appointment to a position in the exempt jurisdictional class.**

**Appointment to this position is pending Governor Appointment's Office and Division of Budget approval.**

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The New York State Department of Financial Services seeks to build an equitable, transparent, and resilient financial system that benefits individuals and supports business. Through engagement, data-driven regulation and policy, and operational excellence, the Department and its employees are responsible for empowering consumers and protecting them from financial harm; ensuring the health of the entities we regulate; driving economic growth in New York through responsible innovation; and preserving the stability of the global financial system.

The Department of Financial Services is seeking candidates for the position of Deputy Superintendent for Banking Applications in Banking Applications Unit within the Banking Division, with the responsibility to oversee the management of the Banking Applications team and reporting to the Senior Deputy Superintendent for Banking Operations. Duties include, but are not limited to, the following:

- Oversees the operations and staff of the Banking Division's Applications business unit, including full oversight of all applications, e.g., merger, change of control, de novo charters, branch, agency and representative office licenses pertaining to the Community and Regional Banks (CRB) and Foreign and Wholesale Banks (FWB) and possible future oversight for applications pertaining to Licensed Financial Services (LFS) and Mortgage Banking (MB);
- Manages/oversees the follow-up communications and submissions of applicants, with the objective of promptly moving the applicants through the process to fully submitted status to ensure that applicants are aware of deficiencies in their applications and tracking performance and status;
- Reviews, advises, and recommends for approval, via decision memoranda/"round robin" memoranda, the fully submitted application and related/supporting documents;
- Trains personnel within the Applications business unit, as well as provides administrative oversight over outsourced application components reviewed by specialists, e.g., the Bank Secrecy Act (BSA)/Anti-Money Laundering (AML) specialist team, within the Banking Division, as well as units outside of the Division such as the Office of General Counsel;
- Participates and/or oversees communication (written or via meetings) with potential applicants to answer preliminary questions and explain the process for an application;
- Recommends and/or assists with revising New York State laws, rules, regulations, policies, and procedures relating to the Banking Division's Applications business unit and the applications process;

- Keeps informed of New York State laws, rules, regulations, policies, and procedures of DFS that may affect financial institutions in connection with the application process;
- Coordinates with and advises the Office of the General Counsel on applications-related matters and interpretations;
- Coordinates DFS' work with other regulatory agencies, e.g., FRBNY and FDIC, as it pertains to applications within the purview of the Banking Division;
- Reports regularly to the Banking Division executive leadership on all matters falling within the scope of the designated responsibilities, as well as liaising with other DFS units as appropriate, regarding the status of matters pertaining to applications.

### **Preferred Qualifications**

- A bachelor's degree or higher (law degree preferred), and at least 10 years of relevant work experience, including 5 years in the banking or financial services industry (regulatory examination experience a plus);
- Managerial experience including demonstrated ability to supervise large teams and projects and to initiate and execute process improvement;
- Familiarity with financial services regulation and New York Banking and Financial Services Laws; and
- Strong analytical, communication, and writing skill.

**Appointment method:** This is an appointment to a position in the exempt jurisdictional class. As such, the incumbent of this position would serve at the pleasure of the appointing authority.

**To Apply:** Interested qualified candidates must submit a resume and letter of interest **no later than December 18, 2024** to the email address listed below. Please include Box# (**Box DSBA-DFSP3-10148**) in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Nate Keiper  
Box DSBA-DFSP3-10148  
New York State Department of Financial Services  
Office of Human Resources Management  
One Commerce Plaza, Suite 301  
Albany, NY 12257  
Email: NCE.Notifications@dfs.ny.gov  
Fax: (518) 402-5071

**All candidates that apply may not be scheduled for an interview.**

### **Public Service Loan Forgiveness**

Employment with New York State qualifies an individual for Public Service Loan Forgiveness (PSLF). This program forgives the remaining balance on any Direct Student Loans after you have made 120 qualifying monthly payments while working full-time for a U.S. federal, state, local, or tribal government or not-for-profit organization. To learn more about the program and whether you would qualify, please visit: <https://studentaid.gov/manage-loans/forgiveness-cancellation/public-service>

### **AMERICANS WITH DISABILITIES ACT: REASONABLE ACCOMMODATIONS**

Under the Americans with Disabilities Act (ADA), the Department of Financial Services is required to provide reasonable accommodation for known physical or mental limitations of an otherwise qualified applicant with a disability if an accommodation would enable the applicant to perform the essential functions of the job. If the accommodation would constitute an undue hardship on the operations of the agency, the agency is not required to provide it.

All people with disabilities are encouraged to apply to all jobs for which they meet the minimum qualifications.

***Pursuant to Executive Order 161, no State entity, as defined by the Executive Order, is permitted to ask, or mandate, in any form, that an applicant for employment provide his or her current compensation, or any prior compensation history, until such time as the applicant is extended a conditional offer of employment with compensation. If such information has been requested from you before such time, please contact the Office of Employee Relations at (518) 473-3130 or via email at [response@oer.ny.gov](mailto:response@oer.ny.gov).***