



An Equal Opportunity/Affirmative Action Employer

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

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### **Senior Compliance Specialist (Financial Services Specialist 2 (Compliance), SG-23)**

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

**Business Unit:** Consumer Examinations Unit

**Negotiating Unit:** Professional, Scientific and Technical (PEF)

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

**Salary:** The starting salary for this position is \$84,156 with periodic increases up to \$106,454.

**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:** Contingent Permanent

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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 Senior Compliance Specialist in Consumer Examinations Unit within the Consumer Protection and Financial Enforcement Division. Duties include, but are not limited to, the following:

- Supports redlining investigations;
  - Assists in the coordination of consumer focused examinations;
  - Reviews fair lending plans of institutions requested by LFS and other DFS business units;
  - Runs call reports for exams;
  - Analyzes exam findings to determine whether patterns of discriminatory practices exist;
  - Tests the accuracy, integrity and consistency of data received from institutions;
  - Assists in the compilation and preparation of examination reports;
  - Presents initial, interim and final results of data analysis in a manner accessible to non-technical audiences, including the Department's non-technical staff and industry representatives;
  - Participates in the technical review, analysis, and examination of financial entities for compliance with related consumer protection laws and regulations;
  - Other duties, as assigned
- Travel may be required up to 10%.

## **Preferred Qualifications**

- Knowledge of Consumer Compliance, Fair Lending and Consumer Reinvestment Act regulations and examination requirements.
- Ability to work independently and be resourceful in utilizing tools and information.
- Strong qualitative, analytical and communication skills with a focus on writing concisely.
- Experience with MS Access and MS Excel.

## **Appointment method:**

Candidates must meet the minimum qualifications listed below in order to be eligible for appointment.

**Non-Competitive:** A Bachelor's Degree in Accounting, Actuarial Science, Auditing, Business, Business Administration, Business and Technology, Commerce, Consumer Sciences, Computer Science, Criminal Justice, Economics, Econometrics, Finance, Information Systems, Information System Engineering, Internal Controls, Health, Health Administration, Law, Mathematics, Public Administration, Public Affairs, Public Health, or Public Policy and three (3) years of specialized experience in one (1) of the following:

- Evaluating the adequacy of board and management oversight of the financial institutions' compliance programs.
- Reviewing lending, deposit, insurance and other transactions to determine compliance with Financial Service's applicable laws/regulations.
- Identifying financial institutions' potentially unfair, deceptive, abusive or discriminatory acts or practices.
- Reviewing financial institution programs, policies and procedures for compliance with legal and regulatory requirements.
- Evaluating financial costs for the failure of financial services entities to adhere or comply with New York State, federal, or other states financial services laws.

A Master's Degree in one (1) of the related fields or a J.D. may substitute for one (1) year of specialized experience. A Ph.D. in one (1) of the related fields may substitute for two (2) years of specialized experience.

**To Apply:** Interested qualified candidates must submit a resume and letter of interest **no later than November 18, 2024** to the email address listed below. Please include the Box # (**Box FSS2C-SCS-10417**) in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Tyler Lebel  
Box FSS2C-SCS-10417  
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).***