



An Equal Opportunity/Affirmative Action Employer

## Announcement of Continuous Recruitment Opportunities

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### **Financial Services Examiner Trainee 1, NS** **(Positions to be filled at the Trainee 1 level only)**

**Location:** Various, see How to Apply

**Business Unit:** Various

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

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

**Salary:** \$65,001 – 82,656 (Grade-18 level)  
\$58,247 (Trainee 2 level)  
\$52,198 (Trainee 1 level)

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. Trainee 1's in the Counties of Bronx, Kings, Nassau, New York, Queens, Richmond, Rockland, Suffolk, and Westchester have \$1,377 added to the equated rate. For Trainee 2's in those Counties, \$1,498 is added to the equated rate.

**Appointment Status:** Permanent, Contingent Permanent, Temporary or Non-Competitive

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

#### **ABOUT THE DEPARTMENT OF FINANCIAL SERVICES:**

DFS is recruiting for Financial Services Examiners to help the Department protect consumers from financial harm; ensure the health of the financial entities we regulate; drive economic growth in New York through responsible innovation; and preserve the stability of the global financial system.

#### **DUTIES:**

As a **Financial Services Examiner 1**, you would monitor various types of financial services activities according to the statutory responsibilities of the agency; review and analyze different types of documents, transactions, operations and data for compliance with Financial Services laws, rules, and regulations; assist parties such as consumers and financial services institutions in resolving problems by interpreting program guidelines and regulations; prepare narrative reports and draft correspondence concerning the agency's regulatory and examination programs and standards for financial services entities; and personally handle routine regulatory activities.

#### **TRAVEL REQUIREMENTS:**

Extensive travel may be required, including overnight travel. Appointees must possess a valid license to operate a motor vehicle in New York State or otherwise demonstrate their ability to meet the transportation needs of the job in carrying out their responsibilities in any location to which travel is required, including locations not accessible by public transportation. Field work and travel expenses will be reimbursed on a fixed schedule.

**Additional information regarding the duties will be discussed at the time of interview.**

**Ideal candidates will possess:** Knowledge of Generally Accepted Accounting Principles (GAAP) and Statements of Statutory Accounting Principles (SSAP); ability to research and consistently apply state laws, department regulations, National Association of Insurance Commissioners (NAIC) statutory accounting practices, and Federal Deposit Insurance Corporation (FDIC) regulations and practices; knowledge of exam planning procedures, internal controls, sampling techniques, testing procedures, work paper preparation/documentation, reviewing procedures and report writing; knowledge of financial analysis techniques and ratios; ability to understand and evaluate the enterprise risk management functions of insurers; ability to think critically and make decisions based on reasonable and timely analysis; ability to understand and evaluate risks, as well as risk mitigation strategies and controls; ability to see the big picture of the organization; ability to multi-task and manage time effectively; ability to work in and contribute to a team environment; strong communication skills (both

written and verbal); ability to participate in presentations discussing examination findings; ability to adapt to complex and rapidly changing expectations and environments; proficiency in MS Excel, Word and Outlook; and the ability to work with a variety of customers in the financial services sector.

### **Appointment method:**

### **Minimum Qualifications:**

Either 1. a bachelor's degree or higher in accounting, auditing, economics, econometrics, business economics, finance, financial administration, mathematics, applied mathematics, mathematical sciences, statistics, actuarial science, or taxation;  
Or 2. a bachelor's degree or higher including or supplemented by 24 semester credit hours in accounting, auditing, economics, econometrics, business economics, finance, financial administration, mathematics, applied mathematics, mathematical sciences, statistics, actuarial science, or taxation.

### **The Traineeship:**

Candidates will be appointed at the Trainee 1 level and will participate in a two-year traineeship during which they will receive classroom and on-the-job training as well as periodic evaluations of their performance. After one year of satisfactory service as a Trainee 1, appointees will be advanced without further examinations to the Trainee 2 level, equated to Grade 16 salary. After one year of satisfactory Trainee 2 service, appointees will be advanced without further examination to the journey-level title and Grade 18 salary.

**NY HELPS:** This title is part of the New York Hiring for Emergency Limited Placement Statewide Program (NY HELPS).

The NY HELPS Program allows agencies to fill certain positions via permanent non-competitive appointments. At a future date (within one year of your permanent appointment), it is expected employees hired under NY HELPS will have their non-competitive employment status converted to competitive status, without having to compete in an examination. Employees will then be afforded with all of the same rights and privileges of competitive class employees of New York State. While serving permanently in a NY HELPS title, employees may take part in any promotion examination for which they are qualified.

**55 b/c Appointment:** Candidates must meet the eligibility requirements of the Governor's Program to Hire Individuals and Veterans with Disabilities as described in Civil Service Law § 55b/c. Information about this program can be found here: <https://www.cs.ny.gov/rp55/>

**Transfer:** Candidates must have one year of permanent competitive service in a title eligible for transfer via Section 70.1 of the Civil Service Law. Information regarding transfer eligibility may be available on the Civil Service Career Mobility Office website at <http://careermobilityoffice.cs.ny.gov/cmo/>.

*Please Note that under Civil Service Law, an employee cannot have two consecutive upward 70.1 or 52.6 transfers without an intervening eligible list appointment if such transfers would exceed two salary grades.*

**To Apply: Vacancies exist in Albany, Buffalo, New York City, and Syracuse.** Interested qualified candidates must submit a resume, letter of interest, and an unofficial copy of their transcripts no later than **December 31, 2024** to the email address listed below. Please include the appropriate Box # for the location(s) you are interested in [**Box FSE1-ALB HELPS; Box FSE1-BUFF HELPS; Box FSE1-NYC HELPS; Box FSE1-SYR HELPS**] in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

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### **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).**