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An Equal Opportunity/Affirmative Action Employer

## Announcement of Intention to Fill Multiple Job Vacancies

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### Senior Attorney, SG-25

(Positions may be filled at the Trainee level)

Location: Albany or New York City

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: \$93,530-\$117,875 (Grade-25 Level)

\$79,928 (Grade NS-22)

\$72,032 (Grade NS-20)

\$65,001 (Grade NS-18)

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: Permanent or 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 Attorney in multiple business units. Duties include, but are not limited to, the following:

**Banking Applications:** Evaluates statutory and regulatory factors to be considered in the investigation of banking applications, including mergers, change of control, de novo charters, and foreign bank licensing; leverages strong written and verbal skills as liaison with financial institutions, other regulatory agencies, and law firms on matters relating to pending and in-process applications; collaborates across depository and non-depository supervision, banking operations, legal, and consumer protection groups to incorporate the analysis of financial and managerial factors, safety and soundness, and consumer compliance in the investigation of banking applications.

**Civil Investigations:** Works on investigations of potential violations of the Insurance, Banking, Financial Services, and other state and federal laws, including requesting documents, analyzing evidence, taking testimony, identifying violations, proposing monetary penalties, negotiating settlements with opposing counsel, and preparing for and conducting administrative hearings and litigation.

**Community and Regional Banks:** Senior Attorneys will be a part of a review team that would work with EICs, team leaders, assistant deputies and the deputy to edit reports of examination and edit or draft other division produced documents.

**Cybersecurity:** Assists with cybersecurity-related enforcement actions, where responsibilities could include such tasks as reviewing relevant documents, taking testimony, and conducting witness interviews; conducts legal research and prepares memoranda of law and/or reports that relate to the interpretation and enforcement of the Cybersecurity Regulation; works with the cybersecurity intelligence and investigation teams regarding cybersecurity incidents that take place at DFS-regulated entities;

**Financial Inclusion and Empowerment Unit:** In this role, the Senior Attorney will be responsible for providing legal analysis and counsel in the development of policy documents, such as proposed legislation, proposed regulations, and/or proposed guidance. Financial Inclusion and Empowerment works with and serves as a primary resource for the Department's leadership and staff in ensuring that its priorities, policies, and communications take into account financial equity, inclusion, and empowerment goals and objectives.

**Innovation Policy Unit:** Addresses legal issues in financial services, including those related to artificial intelligence and machine learning, fintech, insurtech, decentralized finance and other emerging financial products and technologies; provides legal analysis and counsel in the development of policy documents, such as proposed legislation, proposed regulations, and/or proposed guidance; performs qualitative and quantitative research to inform DFS decision-making and influence internal and external stakeholders; conducts policy reviews of innovation topics; maintains best practices for policy review and development; manages an external engagement program with innovators.

**Investigations and Intelligence Division:** Attorneys conduct public records research in connection with the officers, directors, control parties and related entities of companies seeking a license from DFS. The research includes case law, pending lawsuits, negative news, enforcement actions and other information. Attorneys reduce their findings to concise memoranda for the business units to use to make

licensing determinations. Separately, attorneys make inquiry of DFS licensees who report cybersecurity incidents, taking notes about the cyber incidents and escalating the information to the relevant business units, including the Enforcement Division.

**Office General Counsel:** The Senior Attorney in OGC will conduct hearings to review and/or decide appeals from agency determinations, claims regarding issues such as eligibility for benefits, revocation or suspension of licenses, violations of state laws; instructs parties of their rights and maintains fairness, impartiality, and due process; manages hearing calendars; and reviews requests for hearings.

**Appointment Method:**

**Minimum Qualifications:**

**Senior Attorney SG-25:** One year as an Assistant Attorney 3 or admission to the NYS Bar and two years of subsequent professional legal experience.

**Assistant Attorney 3 SG-22:** One year as Assistant Attorney 2 or admission to the NYS Bar and one year of subsequent professional legal experience.

**Assistant Attorney 2 SG-20:** Admission to NYS Bar.

**Assistant Attorney 1 SG-18:** Law School Graduation (or other eligibility to take the NYS Bar Examination). Note: If you are appointed as an Assistant Attorney 1, you will be automatically advanced to Assistant Attorney 2 upon admission to the New York State Bar. If you are not admitted to the New York State Bar within two years of appointment, your appointment will be terminated.

**The Traineeship:** If you are appointed to one of the entry levels of the Attorney Traineeship, you will normally be advanced after each twelve months of satisfactory service to the next higher title (with salary based on performance) until you reach the full performance level of a Senior Attorney. If your final performance evaluation as an Assistant Attorney 2, and your six-month performance evaluation as an Assistant Attorney 3 are rated outstanding, you may be eligible for early advancement to Senior Attorney, reducing your traineeship by six months. All service during the traineeship will be in probationary status. Performance will be evaluated every six months against established standards set by the individual agencies which reflect a timetable for gaining the knowledge and skills necessary so that appointees are able to function at the Senior Attorney level at the completion of the traineeship.

**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.

**List Appointment:** Candidates must be reachable on the Civil Service eligible list for 20-62001.

**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 Sections 70.1 or 52.6 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/cmof/>. 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 and NYC.** Interested qualified candidates must submit a resume and letter of interest **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 [**SA 2024 ALB; SA 2024 NYC**] in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Christopher Barr  
Box# SA 2024 [LOC]  
New York State Department of Financial Services  
Office of Human Resources Management  
One Commerce Plaza, Suite 301  
Albany, NY 12257  
Email: Christopher.Barr@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).**