



An Equal Opportunity/Affirmative Action Employer

Announcement of Intention to Fill a Job Vacancy

Upstate Team Lead (Director Financial Services Programs 2, SG-33)

Location: Albany or NYC

Business Unit: Community and Regional Banks

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 \$141,509 with periodic increases up to 170,993.

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

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

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 Upstate Team Lead in Community and Regional Banks. Duties include, but are not limited to, the following:

Office Duties:

- Acts as a Team Leader for a team of examiners responsible for conducting safety and soundness examinations of a portfolio of institutions;
- Works with Assistant Deputy to schedule, pre-plan, assign resources, monitor examination progress and review examinations;
- Works on special projects as assigned;
- Meets with institution's management or personnel as necessary;
- Drafts and reviews memos, written reports, enforcement actions, round robins and other documents as necessary to be distributed;
- Maintains a familiarity with, and support through action and example, the policies within the Department's various manuals and procedures;
- Works with federal regulatory agencies for scheduling, report review and monitoring of institutions, specifically monitoring of troubled institutions;
- Provides guidance in solving problems and coping with unusual situations, and to gauge the prospect for completing reporting and processing of reports and applications within the projected timeline;
- Reviews and discusses with institution management and board of directors/trustees significant examination findings, conclusions and responses;
- Recommends supervisory or other actions as warranted to the Deputy of the operating division.
- Monitors institutions compliance with the Department's supervisory policies and procedures as well as compliance with the requirements of any supervisory actions;
- Collaborates with the Applications Unit, Consumer Examination Unit, Enforcement Team and Office of General Counsel on applications and inquiries submitted for consideration;
- Can be responsible to supervise, train, and evaluate the conduct and work of other examiners; and
- Other duties as assigned;

Field Duties:

- Serves as Examiner-in-Charge for large sized complex institutions with the responsibility for planning and organizing examinations and assigning key subordinate examiners to specific segments of the examination (e.g., loan review, earnings, liquidity analysis, capital, BSA/AML, systems and technology, loss mitigation etc.);
- Prepares the risk assessment, risk matrix, staff utilization schedule, and the examination scope and procedures based upon the institution's risk profile, information in the previous examination report, workpapers, correspondence, internal departmental memoranda and directives from Department management;
- Requests information from bank management about policy or operating changes that could influence examination procedures and supervision of the institution;
- Monitors examination progress and provides guidance to subordinates and adheres to time schedules;
- Reviews the assignments of assisting examiners, providing constructive critical analysis of their work;
- Reviews and analyzes all examination report schedules, supporting comments and workpapers submitted by assisting examiners to identify any risks present which may impact the institution;
- Submits an accurate, comprehensive report of examination of the financial condition of the entity, complete with narrative and analytical presentations on the various operations of the institution, with suggestions or recommendations to the senior management team and board of directors on corrective measures that need to be taken;
- Reviews apparent violations of law or regulation, discusses each case with assisting examiners and institution management, determines what documents and records should be assembled to complete a review and analysis and, if necessary, asks for and reviews the opinion of institution counsel;
- Travel may be required up to 50%, including potential overnight travel.

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 sciences, auditing, banking, business, business administration, business and technology, commerce, computer information systems, computer science, consumer sciences, criminal justice, cyber security, econometrics, economics, finance, financial administration, health, health administration, information systems, information systems engineering, information technology, internal controls, international or public affairs, law, market analysis, mathematics, public administration, public policy, risk management, statistics, taxation, or technology and eight (8) years of financial services experience with: 1) a regulated entity who has a regional, national and/or international presence; or 2) a governmental regulatory entity. This experience must include practical and technical knowledge about State, federal and/or international financial services laws, rules and regulations. Three (3) years of the experience must have been at a managerial level.

Substitutions: A J.D. or a Master's Degree may substitute for one (1) year of specialized experience; and a Ph.D. 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 December 26, 2024** to the email address listed below. Please include the Box # **(Box UTL-DFSP2-10051)** in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Kara Waters
Box UTL-DFSP2-10051
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.