



An Equal Opportunity/Affirmative Action Employer

Announcement of Intention to Fill a Job Vacancy

Senior Enforcement Counsel (Director Financial Services Programs 3, NS)

Location: Albany or NYC

Business Unit: Enforcement Unit

Negotiating Unit: Management Confidential (MC)

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

Salary: \$111,925 - \$141,439 (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.

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 Enforcement Counsel in the Enforcement Unit within the Consumer Protection and Financial Enforcement Division (CPFED). Duties include, but are not limited to, the following:

- Proposes and develops new areas and subjects for investigations and develops investigations of identified persons, entities, and/or industries based upon whistleblowers, consumer complaints, and other information;
- Works on investigations of potential violations of the Insurance, Banking, Financial Services, and other state and federal laws, including requestions and reviewing document productions, negotiating discovery disputes, taking testimony, negotiating settlements with opposing counsel, and preparing for and conducting administrative hearings and litigation;
- Conducts legal research;
- Provides legal advice on matters regarding regulatory actions and develops legal approaches to accomplish various departmental objectives;
- Prepares pleadings, motion papers, and memoranda of law in connection with litigation and administrative proceedings;
- Analyzes and evaluates evidence, identifies law violations, and proposes monetary penalties, restitution, injunctive relief and/or referral for prosecution;
- Assists in the review and amendment of Insurance, Banking, Financial Services law regulations, identifying law violations and emerging fraud trends;
- Assists in the review of proposed legislation and regulations and the implementations of passed legislation and adopted regulations;
- Works on drafting new legislation and regulations to assist the Department in fulfilling its mandate;

- Conducts special studies and research about issues and programs of interest to the Division and prepares reports and recommendations as assigned;
- Works on initiatives of the Superintendent and Executive Deputy Superintendent;
- Other duties as assigned.

Preferred Qualifications

- Admission to the New York State bar in good standing;
- At least 4 years of post-bar legal experience in the finance or banking industry;
- Experience in legislative affairs preferred.

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 January 14, 2025** to the email address listed below. Please include Box# (**Box SEC-DFSP3-10472**) in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Nate Keiper
Box SEC-DFSP3-10472
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.