



An Equal Opportunity/Affirmative Action Employer

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

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### **Team Lead for Internal Audit, Controls and BSA/AML (Director Financial Services Programs 3, NS)**

**Location: Albany or NYC**

**Business Unit: Banking Management**

**Negotiating Unit: Management Confidential (MC)**

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

**Salary: \$156,757 - \$197,170 (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 \$4,000 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.**

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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 Team Lead for Internal Audit, Controls and BSA/AML in Banking Management. Duties include, but are not limited to, the following:

- Leads specialist unit combined of subject matter experts in Bank Secrecy Act (BSA), Anti-Money Laundering (AML) and Internal Audit (IA) compliance assessment;
- Acts as a resource for generalist examiners on complex exams, and reviewing examination reports finding significant anti-money laundering (AML) deficiencies or recommending supervisory or enforcement actions;
- Provides training to generalist examiners across the Banking Division;
- Responsible for talent-management functions in the newly combined Internal Audit, Controls, and BSA/AML team, including: Employment; Overseeing staffing of Bank Division examinations; Performance evaluations; Staff development/training; Disciplinary actions; Succession planning; and Ensuring all staff comply with job requirements;
- Trains and mentors lead risk, audit, and internal controls examiners;
- Manages the activities of personnel responsible for monitoring our regulated entities' risk, audit and internal controls objectives;
- Engages effectively and continuously with team leads on their responsibilities, to ensure clarity in the communication roles to their respective examiners;
- Supports the development and implementation of regular communication methods to keep employees informed of policy, procedural, and regulatory updates;
- Participates in the vetting of applications across the Banking Division;
- Facilitates collaboration within the Banking Division and across the Department on complex AML supervisory issues;
- Acts as a liaison with Financial Crimes Enforcement Network (FinCEN) and Office of Foreign Assets Control (OFAC) on information sharing matters related to DFS's Memorandum of Understanding (MOUs) with these U.S. Treasury units;

- As applicable, represents DFS on special advisory committees, both for governmental activities (e.g., U.S. FATF, FFIEC) and trade groups (e.g., CSBS);
- Prepares comprehensive written reports and summaries communicating findings;
- Ensures key data, inventory, metrics, and reporting is established;
- Maintains knowledge and learning for best practices for teams to use in their review during the examination process;
- Participates in the regular refresh and revision of supervisory materials to reflect best practices;
- Directly engages with institution supervisors on issues that arise during examinations and provides consistent direction and guidance to team leads;
- Submits timely updates to senior management;
- Responsible for keeping the Banking Division and the Executive Deputy Superintendent apprised of regulatory developments and emerging issues;
- Travel may be required up to 30%; and
- Other duties as assigned

### **Preferred Qualifications**

- At least 13 years of relevant work experience;
  - Substitutions: Associate degree may substitute for two years of specialized experience; bachelor's degree may substitute for four years of specialized experience; master's degree may substitute for five years of specialized experience; J.D. may substitute for six years of specialized experience; Ph.D. may substitute for seven years of specialized experience;
- Four years of experience must have been at a managerial level;
- Must be effective as a leader and exhibit excellent management skills;
- Has excellent communication skills and must effectively articulate risks and opportunities to a broad range of stakeholders, management and regulatory agencies; and
- Has a basic understanding of technology issues and tools used in the examination process in order to effectively evaluate risk, assess sufficiency of controls, and identify process improvement opportunities.

### **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 May 19, 2026** to the email address listed below. Please include Box# (**Box TLIABA-DFSP3-10146**) in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Please be advised that the New York State Department of Financial Services does not offer sponsorship for employment visas.

Kara Waters  
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 Albany, NY 12257  
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 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.