An Equal Opportunity/Affirmative Action Employer

Announcement of Intention to Fill a Job Vacancy

Deputy Superintendent for Internal Compliance & Risk Management
(Director Financial Services Programs 3, NS)

Location: Albany or New York City **Business Unit: Executive**

Negotiating Unit: Management Confidential (MC)

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

Salary: $172,787 - $213,995 (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.

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 Deputy Superintendent for Internal Compliance & Risk Management. This role will oversee Risk Management, Internal Controls, and other compliance initiatives, as well as lead process-focused initiatives to develop compliance approaches to internal processes, procedures, and operations.

Reporting to the General Counsel, the Deputy Superintendent for Internal Compliance & Risk Management will work closely with all agency divisions to develop strategic approaches and promote adoption and utilization of compliance and risk management practices by its workforce, while also serving as a primary liaison between divisions, ensuring that systems and processes are compliant. Duties include, but are not limited to, the following:

- Supports business units using established risk management methodologies, tools, and techniques;
- Identifies, evaluates, and prioritizes DFS' most critical risks including the review of recommended risk ratings and mitigation strategies;
- Directs the development of internal risk intelligence capabilities throughout DFS, including common enterprise-wide processes, tools, and skills for identifying, assessing, and mitigating key risks such as strategy, operations, reporting, and compliance;
- Develops and implements enterprise policy and processes for aggregating and reporting risk information to the Superintendent and executive staff; identifies strengths, weaknesses, and opportunities for improvement in risk management capabilities;
- Manages DFS' Internal Control function and supervises Internal Control Officer;
- Collaborates with DFS' Internal Audit Department to identify and mitigate agency risk and helps manage agency response to external audits;

- Directs the development and maintenance of DFS' policies, procedures, and guidelines to mitigate risk, improve internal controls, and enhance agency operations;
- Assists in broader agency compliance initiatives and the assessment and development of agency-wide compliance approaches and controls;
- Develops/enhances ongoing monitoring process to support internal control best practices and compliance with internal policies and procedures;
- Develops and presents reports on compliance and risk status, goals, and progress to the General Counsel and the Superintendent;
- Participates in strategic and operational risk management as a member of the DFS's senior management;
- Presides or represents DFS in meetings with other government agencies, as appropriate, to ensure best practices and enhance internal compliance and risk management strategies and frameworks;
- Fosters collaborative partnerships with compliance leaders from other New York State agencies to stay abreast of new and emerging compliance and risk management techniques and best practices;
- Supports the work and priorities of the Office of General Counsel and, as appropriate, other DFS divisions and offices; and
- Other duties as assigned.

Preferred Qualifications

- 14 years of full-time professional experience with progressively increasing responsibility in compliance or risk management positions in the public or private sector, including at least 5 years in a managerial or supervisory capacity. Supervision must have included supervising staff performing professional work in the areas described above.
    - Substitutions: Associates 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.
- Proven track record of success in building and managing a compliance, risk management, or other relevant departments in the private sector or a state or federal agency; and
- A thorough knowledge of compliance and risk management frameworks and related operational best practices, preferably in the financial services area.

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 September 30, 2026** to the email address listed below. Please include Box# **(Box DS-ICRM-10136)** 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.

Nate Keiper
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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.