An Equal Opportunity/Affirmative Action Employer

Announcement of Intention to Fill a Job Vacancy

Associate Attorney Financial Services, M-3

Location: Albany or NYC **Business Unit: Office of General Counsel**

Negotiating Unit: Management Confidential (MC)

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

Salary: The starting salary for this position is $120,471 with periodic increases up to $152,238

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 $4,150 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 Associate Attorney Financial Services in the Office of General Counsel. The incumbent will be required to function with a great degree of independence and be able to handle sensitive and confidential information. Duties include, but are not limited to, the following:

- Reviews and provides guidance and recommendations on memoranda of understanding, confidentiality and other agreements and on matters related to conflicts of interest disclosures made by staff, monitors, vendors, contractors or consultants;
- Identifies and proposes updates to internal policies, guidance documents, databases, procedure manuals and applicable laws as appropriate;
- Responds to staff inquiries related to conflicts of interest under New York State's ethics laws and regulations, including the Public Officers Law, the Financial Services Law (FSL), and other applicable laws and rules;
- Reviews and responds to requests for approval of outside activities, official activity expense payments, gifts, speaking engagements, and event attendance;
- Drafts recusal memoranda and waivers for staff, reviews blind trust agreements for compliance with the FSL, and assists with ethics onboarding and offboarding as appropriate;
- Delivers pre-scripted PowerPoint training to staff and interns that covers their duties and responsibilities under New York State's ethics laws and regulations, and the FSL;
- Responds to inquiries and outreach from the Commission on Ethics and Lobbying in Government in a timely manner and issues annual financial disclosure statement filing reminders to staff;
- Oversees compliance with mandatory monthly and quarterly reporting related to ethics training and lobbying data;
- Assists in handling the Department's responses to appeals made pursuant to the Freedom of Information Law;
- Supervises the work of junior staff, paralegals and interns; and
- Performs other duties and special projects as assigned.

Preferred Qualifications

- Strong written, analytical, and oral communication skills.
- Experience delivering and facilitating training.
- Ethics and FOIL experience preferred but not required.

Appointment Method:

Candidates must meet the minimum qualifications listed below in order to be eligible for appointment.

Non-Competitive:
Admission to the New York State Bar and four years of legal experience subsequent to admission to the NYS Bar. Legal experience must be in one or more of the following fields: litigation or financial industry investigations; corporate law involving such actions as corporate mergers, dissolutions, stockholder meetings and other related corporate actions; commercial financial documentation and negotiation; bank regulatory experience; insurance regulatory and legislative experience; and prosecutorial experience gained in a city, state, or federal law enforcement or administrative agency that regularly conducts civil enforcement action in financial and commercial matters.

A master's degree in law with a concentration in Banking Law, Insurance Law, Financial Services Law, Corporate Law, or international legal studies may substitute for two years of experience.

To Apply: Interested qualified candidates must submit a resume and letter of interest **no later than October 20, 2026** to the email address listed below. Please include the Box # **(Box AAFS-OGC-00230)** 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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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.