An Equal Opportunity/Affirmative Action Employer

Announcement of Intention to Fill a Job Vacancy

Assistant Deputy Superintendent for Licensed Financial Services, NS

Location: One State Street, New York City **Business Unit: Licensed Financial Services**

Negotiating Unit: Management Confidential (MC)

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

Salary: $133,245 - $168,152 (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 $4,150 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 Assistant Deputy Superintendent for Licensed Financial Services in Licensed Financial Services Division. Duties include, but are not limited to, the following:

- Advises and confers with the unit head to ensure accurate and timely completion of the unit's mandates and projects, and Department's initiatives;
- Assists with managing, making assignments, coordinating, and scheduling of the activities for those directly supervised;
- Directly supervises, provides guidance, and prepares performance programs and evaluations for direct reports of Financial Services Examiners at various salary grade levels, and Trainees;
- Makes recommendations for new legislation and amendments to existing state legislation/regulations affecting various industries within the unit;
- Assists with reviewing, analyzing, and providing feedback to examiners on draft examination reports including supporting comments and recommendations, particularly for complex and problem entities;
- Prepares and/or reviews various memoranda, and other supervisory material and makes recommendations to the unit head;
- Holds meetings with management and external counsel to discuss trends, problems, and significant examination results;
- Revises and formulates new guidelines to the unit's operating procedures;
- Determines whether circumstances warrant approval, denial, or additional license/s on complex notifications received from licensees;
- Ensures that communication is forwarded to parties whose activities might require licensing and makes sure follow up is made for proper disposition;
- Coordinates with the Department's in-house counsel as well as licensees or outside counsel, state regulators, on various planned or existing activities;

- Ensures section's records are appropriately maintained;
- Represents the Department at various conferences, seminars, and trade association meetings;
- Assists on various special projects and other duties, as needed.

Preferred Qualifications

- At least 11 years of banking experience with strong knowledge of banking policies and procedures and bank examination standards and processes;
    - 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.
- At least five years of experience supervising a large team of examiners;
- At least five years regulatory experience supervising large complex institutions, including planning and conducting
- mandated examinations on an annual basis;
- Ability to supervise and participate or lead on various projects; and
- Strong written and oral communication skills

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 October 19, 2026** to the email address listed below. Please include Box# **(Box ADSLFS-ADS-10221)** 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
Box ADSLFS-ADS-10221
New York State Department of Financial Services
Office of Human Resources Management
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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.