An Equal Opportunity/Affirmative Action Employer

Announcement of Intention to Fill a Job Vacancy

Financial Services Specialist 4 (Compliance), SG-27

Location: One Commerce Plaza, Albany **Business Unit: Community & Regional Banks**

Negotiating Unit: Professional, Scientific and Technical (PEF)

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

Salary: The starting salary for this position is $111,708 with periodic increases up to $137,590.

Appointment Status: Permanent

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 Financial Services Specialist 4 (Compliance) in Community and Regional Banks Unit. Duties include, but are not limited to, the following:

- Performs reviews of examination reports, with a focus on larger and/or complex community banks, to include ensuring the meaningfulness and the appropriate disposition of examiner findings; editing for grammar, clarity, word choice, tone and formatting; and confirming the accuracy of financial data presented;
- References and utilizes Salesforce, examination workpapers, existing supervisory actions, progress reports, and correspondence between the supervised institutions and the Department, in furtherance of reviewing and editing examination reports;
- Ensures that examination reports address compliance with applicable laws and regulations;
- Meets with team leaders, portfolio managers, and Examiners-in-Charge to discuss examination scope and conclusions, to ensure that findings are appropriately categorized by severity and are well supported, and to confirm that examination reports are complete and address all prior examination issues, and if applicable, the status of any supervisory actions;
- Assists with resolving any divergent views between team leaders and specialty teams;
- Maintains comprehensive notes and any supporting documentation arising from vetting meetings with team leaders, portfolio managers, and Examiners-in-Charge;
- Maintains working knowledge and understanding of all applicable laws, regulations, and industry guidance pertaining to areas examined by Community and Regional Banks, and provide training to junior team member in the Review Unit on such material;
- Performs reviews of division letters and memorandums, ensuring overall readability, appropriate messaging, sufficiency of supporting information, and accuracy of financial data presented;
- References and utilizes examination reports, internal communication, and correspondence between supervised institutions and the Department in furtherance of reviewing and editing division letters and memorandums;
- Guides and mentors junior team members in the Review Unit on the expectations and standards of the unit, providing regular feedback;

- Assists with supervising the review work of junior team members;
- Assists with maintaining the procedures of the Review Unit, including making recommendations for process enhancements;
- Maintains tracking reports for the work flowing through the Review Unit; and
- Other duties as assigned.

Appointment Method:

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

Non-Competitive:
Nine (9) years of specialized experience in one (1) or more of the following of which two (2) year of the experience must have been at a supervisory level:

- Evaluating the adequacy of board and management oversight of the financial institutions' compliance programs.
- Reviewing lending, deposit, insurance and other transactions to determine compliance with Financial Service's applicable laws/regulations.
- Identifying financial institutions' potentially unfair, deceptive, abusive or discriminatory acts or practices.
- Reviewing financial institution programs, policies and procedures for compliance with legal and regulatory requirements.
- Evaluating financial costs for the failure of financial services entities to adhere or comply with New York State, federal, or other states financial services laws.

An 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.

To Apply: Interested qualified candidates must submit a resume and letter of interest **no later than October 28, 2026** to the email address listed below. Please include the Box # **(Box FSS4C-CRB-10453)** 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.