An Equal Opportunity/Affirmative Action Employer

Announcement of Intention to Fill a Job Vacancy

Assistant Deputy Superintendent for Supervision Unit, NS

Location: One State Street, New York City **Business Unit: Mortgage Banking**

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 Supervision Unit in the Mortgage Banking - Real Estate Finance unit. The Assistant Deputy Superintendent will report to the Deputy Superintendent of Mortgage Banking - Real Estate Finance. Duties will include, but not be limited to:

- Supervising in-house functions related to monitoring compliance with applicable laws and regulations as well as licensing requirements, financial condition, liquidity and enhanced supervisory monitoring, authorization and oversight of exempt entities, general assessment related delinquencies, applications for additional authority, line of credit providers and facilitating enforcement functions.
- Overseeing the day-to-day duties and responsibilities of Financial Services Examiners, Specialists, and various levels of clerical support staff;
- Consulting with internal operating sub-units, business units and office of general counsel as well as external federal or state regulatory agencies, Conference of State Bank Supervisor's multistate Mortgage Committee, State Regulatory Registry on enforcement and legislative matters;
- Providing guidance to examiner and clerical support staff in solving problems and coping with unusual situations, including compliance with enhanced supervision monitoring protocols, enforcement actions, borrower restitutions, multi-state initiatives and resource management;
- Overseeing subordinate examiners development of periodic monitoring and institution profile reports, quarterly delinquency reports, analysis of financial statements, volume of operations and servicing reports, warehouse line of credit monitoring, and trends in enforcement related cases;
- Assisting in the development of standardized workplans, compliance review modules and training materials;

- Analyzes proposals submitted by subordinates and recommends appropriate action to the Deputy Superintendent and executive staff;
- Preparing and reviewing consent orders and settlement agreements, including recommending the amount of penalty that the Department should levy;
- Coordinates discussions with senior management of regulated entities on enforcement actions relating to examination findings;
- Coordinates with the Department's executive management team, Office of General Counsel and Consumer Protection and Financial Enforcement Division in the final resolution of consent orders and settlement agreements;
- Coordinates the preparation of supervisory enforcement notices such as Cease and Desist, Suspension, Revocation and hearing letters and/or documents for mortgage companies and mortgage loan originators.
- Assists the Deputy Superintendent in developing policies and procedures and introducing changes to laws and regulations;
- Formulates new or revised legislation and regulations;
- Assumes overall responsibility for a divisions operation in the absence of the Deputy Superintendent;
- Advises the Superintendent on matters dealing with Mortgage industry and individual institutions;
- Represents the Department at conferences, seminars and trade association meetings;
- Overseeing division operations by supervising staff, preparing budget, overseeing projects relating to the development and implementation of mortgage banking related information systems, physical document storage, data verification protocols.

Preferred Qualifications

- At least 11years of banking experience with strong knowledge of banking policies and procedures and bank examination standards and processes; of which two years of experience must have been at a managerial level.
    - 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 appointing authority.

To Apply: Interested qualified candidates must submit a resume and letter of interest **no later than November 12, 2026** to the email address listed below. Please include Box# **(Box ADSSU-ADS-10224)** 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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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.