An Equal Opportunity/Affirmative Action Employer

Announcement of Intention to Fill a Job Vacancy

Field Unit Supervisor
(Director Financial Services Programs 1, SG-31)

Location: One State Street, New York City **Business Unit: Health Bureau**

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 $137,163 with periodic increases up to $166,974

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 Field Unit Supervisor in Health Bureau. Duties include, but are not limited to, the following:

- Administers the daily functions and supervision of the field examination unit(s) that conduct examinations and investigations of HMOs, Article 29, Article 42, Article 43, Article 47, and other regulated entities;
- Works with Regulatory Units to identify time sensitive and risk sensitive examinations and prioritize examinations;
- Reviews results of pre-exam review and approves the scope of field examinations including critical risk areas;
- Schedules and assigns staff to conduct such examinations;
- Arranges for appropriate internal or external (consultants) expertise to be allocated to the examinations and coordinates communication between the field examiners, regulatory units, actuarial unit, policy/rating units (Albany Health Bureau), Consumer Services Bureau, and Capital Markets;
- Arranges to participate in pre-examination meetings with Department staff from aforementioned bureaus units and company management representatives;
- Establishes and modifies procedural standards for conducting market conduct or combined examinations in compliance with Department Regulations and statutes;
- Apprises field staff of legislative or regulatory initiatives;
- Make visits to examinations of HMOs, insurers, Pharmacy Benefit Managers or other regulated entities to address progress concerns and provide input to Company management and Department staff on conduct of the examination;
- Evaluates subordinate examiners and measures and reviews progress on other ongoing examinations;
- Reviews ~~final~~ drafts of reports on examination, and conducts meetings with Company representatives to finalize report findings, and interface OGC regarding potential fines and accompanying stipulations;

- Assists in the development of Request-for-Proposals and contract selection for external consulting “vendors” used in field examinations;
- Works with the consultants to incorporate their procedures into the examination and report issued thereon;
- Evaluates and implement technology enhancements affecting the examination process and determine training needs of the unit staff, recommends training, and evaluates requests to attend available training;
- Develops, recommends, and/or comments on new legislations, regulation, circular letters or special reports or Department initiatives;
- Conducts examinations of Pharmacy Benefit Managers; and
- Completes all other duties as assigned.

Appointment Method:

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

Non-Competitive: Eleven years of financial services experience** with **EITHER** a regulated entity who has a regional, national, and/or international presence; **OR** a governmental regulatory entity. This experience must include practical and technical knowledge about State, federal and/or international financial services laws, rules and regulations. Two years of the experience must have been at a managerial level.

Substitutions: An associate degree may substitute for two years of experience; a bachelor’s degree may substitute for four years of experience; a master’s degree may substitute for five years of experience; and a doctorate may substitute for six years of experience.

** Qualifying professional financial services experience is defined to include, but may not be limited to related experience gained with public accounting/auditing firms; cyber security and intrusion detection/mitigation firms; law firms, lobbying firms and consulting firms/companies; risk assessment, asset hedging and loss control firms; commodities markets, virtual currency and credit scoring; currency markets/exchanges, bond markets, stock markets and money markets; hedge funds, mutual funds, investment houses and rating firms; business valuation, stock valuation, and cash management; wealth management, wealth portfolio, and trust companies/corporations; firms with a nexus to corporate mergers, acquisitions, management and accounting; mortgage backed securities, swaps and swap valuation; underwriting, policyholder services and claims services; workers’ compensation, income protection plans, gap insurance and liability coverage; property/casualty insurance, life insurance and health insurance; retirement/savings plans such as social security, pension plans, Roth IRA, 527 Plans, 401(k) Plans, 403(b) Plans, annuities and related income tax savings vehicles; fair lending practices and urban analysis; public finance/financial management and taxation, central bank, tax, tariff and trade; and monetary policy, monetary reform and investment theory.

To Apply: Interested qualified candidates must submit a resume and letter of interest **no later than November 30, 2026** to the email address listed below. Please include the Box # **(Box FUS-DFSP1-21009)** 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
Box FUS-DFSP1-21009
New York State Department of Financial Services
Office of Human Resources Management
One Commerce Plaza, Suite 301
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.