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: Cybersecurity Supervision**

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: Contingent 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 Cybersecurity Supervision. Duties include, but are not limited to, the following:

- Conducts the IT and cybersecurity supervision (e.g., cadence meetings, ad hoc supervisory engagements) and assessment (e.g., desk-based and onsite reviews, horizontal thematic reviews) work of assigned higher-risk Banking and Insurance chartered institutions and other DFS-regulated entities to determine compliance with applicable laws, regulations, guidance, and supervisory expectations;
- Conducts peer reviews and supports team members in carrying out licensing reviews, ongoing supervision, and periodic compliance reviews;
- Maintains a thorough understanding of the business models and compliance requirements of assigned Licensees; identifies and assesses current and emerging compliance risks; and presents recommendations for supervisory actions as appropriate;
- Stays informed on compliance best practices and evolving trends, including developments in cybersecurity, blockchain and other emerging technologies;
- Conducts risk-based assessments of Licensees, including evaluations of cybersecurity and information technology practices to assess compliance with 23 NYCRR Part 500 and support determinations related to safety and soundness from a compliance risk perspective;
- Conduct assessments according to supervisory procedures;
- Meets with Licensees' management teams for assessments and periodic updates; requests and reviews supervisory materials; and maintains a current understanding of operations, scale, and scope of business activities;
- Prepares comprehensive Reports of Examination (ROEs), as well as supervisory memos, correspondence, presentations, and guidance documents for both internal and external stakeholders;
- Informs supervisors promptly of any material noncompliance issues and address such matters for corrective action;
- Reviews the ROEs of junior examiners and direct reports for quality, consistency, and adherence to established supervisory standards and procedures;

- Supports the development and continuous improvement of internal policies, procedures, examination materials, and best-practice guides related to the supervisory process;
- Communicates effectively with senior and executive management, both internally within the Department and externally with regulated entities, through verbal briefings, written memoranda, reports, and formal presentations;
- Follows documented supervisory procedures and completes supervision work programs in accordance with Departmental guidance and regulatory standards;
- Manages and provides training to a team of supervisory personnel as needed and aligned with organizational priorities; 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) years 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 15, 2026** to the email address listed below. Please include the Box # **(Box FSS4C-10512)** 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.

Brian Tighe
Box FSS4C-10512
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.