



**One State Street, New York, NY 10004**  
An Equal Opportunity/Affirmative Action Employer

## **Announcement of Intention to Fill Multiple Job Vacancies**

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### Assistant Chief Investigations, NS

**Location: Various Locations**

**Business Unit: Multiple**

**Negotiating Unit: Professional, Scientific & Technical (PS&T)**

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

**Salary: Commensurate with experience**

**Travel Required: Percentage will vary dependent upon location and assignment.**

**Appointment Status: Exempt**

**Appointment to these positions are pending Division of Budget approval to fill.**

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The Department of Financial Services ("Department") is seeking candidates who are highly experienced professionals to work with the Department's business units to investigate criminal and fraudulent activities in our regulated financial institutions in support of the Department's efforts to enforce the Banking, Insurance and Financial Services laws. This may involve travel and undercover operations for extended periods and irregular hours, including weekends. The duties of this position include, but are not limited to, the following:

- Supervise investigatory staff and ensure that a supervisory chain of command is present and enforced;
- Investigate the more sensitive and/or complex cases concerning potential violations of the Banking, Insurance and Financial Services Laws, related statutes, and regulations;
- Plan the scope and method of investigation and coordinate field activities of assigned staff;
- Review completed investigation reports for adequacy of coverage, quality of findings, and soundness of recommendations and/or make recommendations consistent with findings and agency policy and practice;
- Prepare periodic status reports for higher level staff;
- Perform a wide variety of enforcement, regulatory and licensing investigative activities, pursuant to the Banking, Insurance and Financial Services Laws and the Department's regulatory obligations, in order to gather information and report facts;
- Review assigned cases or complaints from the public;
- Plan the scope and method of an investigation based on office policy, accessibility of information and importance of a case;
- Meet with and interview witnesses, complainants, proprietors, prospective licensees and others to obtain information relating to an investigation and take statements from individuals in an appropriate format, taking care to include a full description of the facts needed to support an investigation;
- Develop leads and informants and conduct surveillance and engage in undercover work often using a camera, recording device, or other equipment to document findings;
- Obtain and safeguard evidence according to agency procedures and legal requirements;

- Confer with law enforcement and other entities to convey and obtain information relevant to an investigation and to develop and maintain rapport to ensure mutual cooperation in the conduct of an investigation;
- Participate in joint agency operations targeting patterns of non-compliance or violations by regulated entities;
- Prepare factual written reports of information gathered during an investigation and discuss investigative findings and recommendations with supervisors and program specialists;
- Recommend an appropriate course of action consistent with findings and agency policy and practices;
- Assist with witness preparation and fact and evidence development during trials;
- Testify at administrative proceedings or in court regarding the details of investigations and related conclusions; and
- Other appropriate and occupationally related duties as assigned.

**Qualifications:**

This will be an exempt appointment. The incumbent will be designated as a peace officer and must be a United States citizen, reside in New York State and maintain New York State residency during employment, as well as meet all other requirements related to peace officer status. The preferred candidate will have a minimum of ten years of law enforcement experience or in the conduct of field investigations preliminary to criminal litigation or to criminal prosecution, with at least six years experience in conducting financial fraud investigations of which five years in a supervisory capacity or acting as a team leader; an understanding of law enforcement agencies throughout the country; the ability to analyze criminal history reports; the ability to conduct research, investigative interviews and prepare written memoranda detailing the results; the ability to analyze financial documents and filings, including mortgage records; and possess excellent presentation, organization, writing, telephone and computer skills, including the ability to work with spreadsheets.

**To Apply:** Interested qualified candidates must submit a resume and letter of interest **no later than November 14, 2017** to the email address listed below. Please include **(Box ASCHFINV-02)** in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Denise Rotunda  
**Box ASCHFINV-02**  
New York State Department of Financial Services  
Human Resources Management  
99 Washington Avenue, Suite 2016  
Albany, NY 12257  
**Email: NCE.Notifications@dfs.ny.gov**

Please note that not all applicants may be scheduled for an interview.

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**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 and the accommodation would not constitute an undue hardship on the operations of the agency.

***Pursuant to Executive Order 161, no State entity, as defined by the Executive Order, is permitted to ask, or mandate, in any form, that an applicant for employment provide his or her current compensation, or any prior compensation history, until such time as the applicant is extended a conditional offer of employment with compensation. If such information has been requested from you before such time, please contact the Governor's Office of Employee Relations at (518) 474-6988 or via email at info@goer.ny.gov***