



One State Street, New York, NY 10004

An Equal Opportunity/Affirmative Action Employer

Announcement of Intention to a Job Vacancy

Associate Attorney Financial Services, M3

Location: Albany or NYC

Business Unit: Criminal Investigations Bureau

Negotiating Unit: Management Confidential

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

Salary: \$101,403 - \$128,142

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 \$3,026 annual downstate adjustment.

Appointment Status: Permanent

The Department of Financial Services is seeking candidates for the position of Associate Attorney Financial Services in the Criminal Investigations Bureau within the Consumer Protection and Financial Enforcement Division. Duties include, but are not limited to, the following:

- Conducts due diligence research in connection with financial services license applications of student loan servicing, money services, and cryptocurrency companies;
- Reviews and analyzes all documents of the application file including legal documents, personnel information, financial statements, and the applicant's business model;
- Researches and reviews court records, significant litigations, and other public records such as UCC filings, liens, judgments and bankruptcy filings that involve the applicants, their related companies, control parties, officers, and directors;
- Conducts research and analysis of the published findings of the U.S. Securities and Exchange Commission, the Federal Reserve Board, the Federal Deposit Insurance Corporation, the Financial Industry Regulatory Authority, the Federal Trade Commission, other federal regulatory agencies, and the regulatory and law enforcement agencies of all 50 states and 16 U.S. territories;
- Issues clearly written and detailed memoranda comprised of findings with facts and analysis to support the recommendations upon which the business units of the Department may rely;
- Assists in reviewing the work of, and in training, less experienced staff;
- Participates in the investigations of cybersecurity incidents reported by the Department's covered entities, in connection with Department's Cybersecurity Compliance Regulation, 23 NYCRR Part 500, and drafts concise memoranda of findings from each inquiry; and
- Identifies trends in cybersecurity risk for the Cybersecurity and Enforcement Divisions, as demonstrated by cybersecurity incidents reported by licensees

Appointment method:

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

Non-Competitive: Admission to the New York State Bar and four years of legal experience subsequent to admission to the NYS Bar. Legal experience must be in one or more of the following fields: litigation or financial industry investigations; corporate law involving such actions as corporate mergers, dissolutions, stockholder meetings and other related corporate actions; commercial financial documentation and negotiation; bank regulatory experience; insurance regulatory and legislative experience; and prosecutorial experience gained in a city, state, or federal law enforcement or administrative agency that regularly conducts civil enforcement action in financial and commercial matters.

A master's degree in law with a concentration in Banking Law, Insurance Law, Financial Services Law, Corporate Law, or international legal studies may substitute for two years of the experience.

To Apply: Interested qualified candidates must submit a resume and letter of interest **no later than December 3, 2021** to the email address listed below. Please include the Box # (**Box AAFS-CIB-00233**) in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Sandra Mell
Box AAFS-CIB-00233
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

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.

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.