



An Equal Opportunity/Affirmative Action Employer

Announcement of Intention to Fill a Job Vacancy

Executive Deputy Superintendent for the Consumer Protection and Financial Enforcement Division, NS

Location: One State Street, New York City

Business Unit: Consumer Protection and Financial Enforcement Division

Negotiating Unit: Management Confidential (MC)

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

Salary: \$158,124 – \$195,836 (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 \$3,026 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 Department of Financial Services seeks to build an equitable, more transparent and resilient financial system that benefits New Yorkers and supports business. Through engagement, data-driven regulation, and operational excellence, DFS is responsible for empowering consumers and protecting them from financial harm; ensuring the health and stability of the financial entities we regulate; and driving economic growth through responsible innovation.

Under the direction of the Superintendent for the Department of Financial Services (DFS), the Executive Deputy Superintendent for the Consumer Protection and Financial Enforcement Division (CPFED) will guide the Department's oversight for protecting and educating consumers and fighting consumer fraud, as well as ensuring that regulated entities comply with New York and federal law in relation to their activities serving the public. The Executive Deputy Superintendent will also guide enforcement actions to ensure that regulated parties are held accountable for unlawful business practices, coordinating with other senior staff and law enforcement agencies, as well as oversee the planning, direction and supervision of the operations of major Financial Services initiatives pertinent to CPFED. Lastly, the purview of this position also involves oversight to developing investigative leads and intelligence in furtherance of the Department's efforts to enforce the Banking, Insurance and Financial Services laws, with particular focus on the review and response to cybersecurity events and the development of supervisory, regulatory and enforcement policy and direction in the area of financial crimes. CPFED consists of the following Business Units: Enforcement, the Consumer Examination Unit, the Consumer Assistance Unit, the Holocaust Claims Processing Office, the Criminal Investigations Bureau, and the Frauds Bureau.

Duties will include, but not be limited to, the following:

- Works with the Superintendent and Executive staff on policy matters of importance to the regulation of financial services industries;
- Oversees, directs, and manages the implementation of large financial industry enforcement matters;
- Develops plans to coordinate implementation of new procedures and processes for CPFED; and
- Drafts legislation, rules, regulations, policies and procedures for the Department.

Preferred Qualifications

- Juris Doctorate.
- At least ten years of experience working on investigations in the financial services industry.
- At least five years of managerial supervision.

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 the appointing authority.

To Apply: Interested qualified candidates must submit a resume and letter of interest **no later than January 31, 2023** to the email address listed below. Please include Box# (**Box DS-EDSCPFED-00102**) in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Thomas Hurd
Box DS-EDSCPFED-00102
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.

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 Office of Employee Relations at (518) 473-3130 or via email at response@oer.ny.gov.