



An Equal Opportunity/Affirmative Action Employer

## **Announcement of Intention to Fill a Job Vacancy**

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### **Senior Attorney, SG-25**

**(Position may be filled at the Trainee level)**

**Location: One State Street, New York City**

**Business Unit: Investigations and Intelligence**

**Negotiating Unit: Professional, Scientific and Technical (PEF)**

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

**Salary: \$61,270 - \$77,912 (Assistant Attorney 1)**  
**\$67,897 - \$86,140 (Assistant Attorney 2)**  
**\$75,340 - \$95,392 (Assistant Attorney 3)**  
**\$88,161 - \$111,111 (Senior Attorney)**

**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**

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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.

The Department of Financial Services is seeking candidates for the position of Senior Attorney in the Investigations and Intelligence Unit. Duties include, but are not limited to, the following:

- Reviews and analyzes applications of potential licensees for completeness and compliance; evaluates licensing laws and regulations, and industry trade practices, to identify issues and areas of concern for business units' licensing determinations;
- Evaluates industry trade practices, identifying legal issues and applying public policy in determining acceptability of the content and marketing of policy forms;
- Drafts legislative proposals with supporting memoranda, regulations with required SAPA materials, and circular letters.
- Conducts through regulatory investigations including background due diligence of such applicants, their related entities, their officers and boards of directors for the purpose of informing Department business units of their findings and any areas of concern;
- Prepares memoranda on new legal or public policy issues identified in policy form submission or market conduct review and makes proper recommendations in formulation of new Department position;
- Analyzes the results of such regulatory investigations to prepare concise and effective written memoranda on findings in order to assist business units in the formulation of questions of follow-up review of application materials;
- Attends meetings or participates in telephone conferences with industry representatives to discuss policy form filings or marked conduct matters;
- Prepares reports on new industry practices, new distribution methods, new products and compliance issues;

- Performs legal research of statutes, regulations, and court decisions that are pertinent to Financial Services;
- Responds to consumer complaints and legislative inquiries, inquiries from industry representatives or from within the Department concerning life insurance policies and annuity contracts including interpretation of contract provisions and rights and obligations of the parties to the contract;
- Assists in the processing of violations of the Insurance Law relating to the approval process including coordination with other units or Bureaus such as the Office of General Counsel;
- Processes policy forms in a timely and efficient manner in view of the Bureau's present volume of submissions;
- Coordinates review of files with actuaries and other Department personnel; and
- Assists field examiners in the identification and research of various issues arising during market conduct examinations.

**Appointment method:**

**List Appointment:** Candidates must be reachable on the Civil Service eligible list for 20-131.

**55 b/c Appointment:** Candidates must meet the eligibility requirements of the Governor's Program to Hire Individuals and Veterans with Disabilities as described in Civil Service Law § 55b/c. Information about this program can be found here: <https://www.cs.ny.gov/rp55/>

**Transfer:** Candidates must have one year of permanent competitive service in a title eligible for transfer via Sections 70.1 or 52.6 of the Civil Service Law. Information regarding transfer eligibility may be available on the Civil Service Career Mobility Office website at <http://careermobilityoffice.cs.ny.gov/cmof/>.

*Please Note that under Civil Service Law, an employee cannot have two consecutive upward 70.1 or 52.6 transfers without an intervening eligible list appointment if such transfers would exceed two salary grades.*

**ADDITIONAL INFORMATION:**

**The Traineeship:** If you are appointed to one of the entry levels of the Attorney Traineeship, you will normally be advanced after each twelve months of satisfactory service to the next higher title (with salary based on performance) until you reach the full performance level of a Senior Attorney. If you are appointed as an Assistant Attorney 1, you will be automatically advanced to Assistant Attorney 2 upon admission to the New York State Bar. **If you are not admitted to the New York State Bar within two years of appointment, your appointment will be terminated.** All service during the traineeship will be in probationary status. Performance will be evaluated every six months against established standards which reflect a timetable for gaining the knowledge and skills necessary so that appointees are able to function at the Senior Attorney level at the completion of the traineeship.

**To Apply:** Interested qualified candidates must submit a resume and letter of interest **no later than December 15, 2022** to the email address listed below. Please include the Box # SA-02040 in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Christine McCann  
Box SA-02040  
New York State Department of Financial Services  
Office of Human Resources Management  
One Commerce Plaza, Suite 301  
Albany, NY 12257  
Email: Christine.McCann@dfs.ny.dov  
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](mailto:response@oer.ny.gov).***