



An Equal Opportunity/Affirmative Action Employer

Announcement of Intention to Fill Two Vacancies

Associate Attorney Financial Services, M3

Location: Albany or NYC

Business Unit: Investigations and Intelligence Division

Negotiating Unit: Management Confidential (MC)

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

Salary: The starting salary for this position is \$105,500 with periodic increases up to \$133,319

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

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.

The Department of Financial Services is seeking candidates for the position of Associate Attorney Financial Services in the Investigations and Intelligence 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 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
- Other duties as assigned.

Preferred Qualifications: Experience in legal research and writing is preferred

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 March 24, 2023** to the email address listed below. Please include the Box # **(Box AAFS-CIB-08007-08009)** in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Anthony Craft
Box AAFS-CIB-08007-08009
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.