



# COMMONWEALTH OF KENTUCKY JOB CLASS SPECIFICATION

## FINANCIAL INSTITUTIONS EXAMINER SENIOR

Job Number: 21000902

Job Code: 34390V151016

Job Group: 3400 - FINANCIAL EXAMINATION

Job Established: 10/16/2015

Job Revised:

Grade: 17 Salary (MIN - MID):

\$24,055-\$31,869 - Hourly

\$3,908.94-\$5,178.72 - 37.5 Hr. Monthly Salary

\$4,169.54-\$5,523.96 - 40 Hr. Monthly Salary

**Special Entrance Rate:**

**\$28,443 - Hourly**

**\$4,622.00 - 37.5 Hr. Monthly Salary**

**\$4,930.00 - 40 Hr. Monthly Salary**

### **PROBATIONARY PERIOD:**

This job has an initial and promotional probationary period of 6 months. For additional information refer to: <http://www.lrc.ky.gov/kar/101/001/325.htm.20001171>

### **CHARACTERISTICS OF THE JOB:** *Characteristics of a job are general statements indicating the level of responsibility and discretion of positions in that job classification. These are not intended to be an exhaustive list.*

Examines, audits, and reviews for compliance or investigations the operations of a financial institution or securities entity. Serves as the examiner-in-charge or as a senior member of a state examination/investigation team, or as a special investigator in the state regulation and regulation of a financial institution or of a securities entity. Prepares all or substantial portions of the examination/investigation report or other official documentation. Performs above tasks in addition to or other than for institutions in assigned division. Presents major findings to appropriate person(s); and performs other duties as required.

### **MINIMUM REQUIREMENTS:**

#### **EDUCATION:**

Graduate of a college or university with a bachelor's degree in accounting, business administration, economics, finance, or juris doctorate degree.

#### **EXPERIENCE:**

Must have attained Certified Examiner status with the Department of Financial Institutions and have three years of experience as a financial institution or securities entity examiner.

#### **Substitute EDUCATION for EXPERIENCE:**

A masters degree in accounting, business administration, economics, finance or a related field will substitute for up to two years of the required experience.

#### **Substitute EXPERIENCE for EDUCATION:**

Experience as a financial institution or securities entity examiner, or professional experience working for a financial institutions regulatory agency or securities industries regulatory agency will substitute for the required education on a year-for-year basis. OR Two years of professional experience as an officer, accountant, analyst, internal auditor, compliance officer, or related

professional in a financial institution; or as a licensed securities broker, dealer, agent, or investment advisor; or as an investigator of financial fraud in the financial institutions or securities industries will substitute for each year of the required education.

**SPECIAL REQUIREMENTS (AGE, LICENSURE, REGULATION, ETC.):**

Must possess and maintain a valid driver's license prior to appointment in this classification. Must successfully complete the Certified Financial Institutions Examiner process related to the assigned job functions as determined by the Department of Financial Institutions OR have successfully achieved a certified status with a federal regulatory agency OR Successful completion of the Graduate School of Banking or Cannon Trust School. Must maintain annual continuing education requirements as set forth by the Department of Financial Institutions.

**EXAMPLES OF DUTIES OR RESPONSIBILITIES OF THE JOB CLASSIFICATION:** *Examples of duties or responsibilities are not to be construed as describing what the duties or responsibilities of any position shall be and are not to be construed as limiting the appointing authority's ability to assign, or otherwise alter the duties and responsibilities of a position. This is not intended to be an exhaustive list.*

Performs examinations, audits, compliance reviews, or investigations of operations or of financial institutions or a securities entity other than and in addition to, those within the certified examiner's assigned division. As examiner-in-charge, assigns tasks and supervises the procurement and analysis of data. Writes all or a substantial portion of the examination, audit, compliance, or investigation report. As an examiner/investigator, conducts interviews; collects and analyzes data; requests and serves subpoenas; marks, catalogues, and stores evidence. Presents testimony and develops documentation to support findings. Prepares correspondence and case reports. Evaluates condition of the applicant, financial institution, or securities entity based upon state/federal laws and regulations and upon established policies and procedures. Trains less experienced examiners. Reviews work performed by other team members and provides constructive feedback regarding the performance of team members.. Performs routine tasks necessary to evaluate applications and registrations; or conducts examinations, audits, compliance reviews, investigations of a state-regulated financial institution or securities entity other than, and in addition to, those within the examiner's assigned division.

**UNIQUE PHYSICAL REQUIREMENTS:**

Must be able to transport personal (laptop) computer, printer, adding machine/calculator, various books and manuals. May occasionally be required to lift file boxes in excess of twenty-five pounds.

**TYPICAL WORKING CONDITIONS:** *Incumbents in the job will typically perform their job duties under these conditions.*

Work is usually performed in the offices of the financial institution or securities entity being examined, reviewed, or investigated. Will require travel usually within a defined geographic "district". Travel outside one's district may be required periodically. Work may also be performed in the Department's central office or in one of its field offices.

**ADDITIONAL REQUIREMENTS:**

Upon appointment, employees in this class may be required to maintain a valid driver's license and required to drive a licensed vehicle. This status may be necessary for the length of time in this class. If this is necessary it will be listed in the specific position description for that position. Applicants and employees in this job title maybe required to submit to a drug screening test and background check. Applicants and employees in positions which perform job duties that may require contact with offenders in the custody or supervision of the Department of Corrections or with youth in the care, custody, or supervision of the Department of Juvenile Justice must meet qualifications pursuant to the federal Prison Rape Elimination Act, 28 C.F.R.115.17 and 115.317.

*THE COMMONWEALTH OF KENTUCKY DOES NOT DISCRIMINATE ON THE BASIS OF RACE, COLOR, RELIGION, SEX, NATIONAL ORIGIN, SEXUAL ORIENTATION OR GENDER IDENTITY, ANCESTRY, AGE, DISABILITY, POLITICAL AFFILIATION, GENETIC INFORMATION OR VETERAN STATUS IN ACCORDANCE WITH STATE AND FEDERAL LAWS.*