



COMMONWEALTH OF KENTUCKY JOB CLASS SPECIFICATION

FINANCIAL INSTITUTIONS EXAMINER I

Job Number: 21000900

Job Code: 34300V250216

Job Group: 3400 - FINANCIAL EXAMINATION

Job Established: 10/16/2015

Job Revised: 02/16/2025

Grade: 13 Salary (MIN - MID):

\$20,549-\$30,824 - Hourly

\$3,339.22-\$5,008.90 - 37.5 Hr. Monthly Salary

\$3,561.84-\$5,342.84 - 40 Hr. Monthly Salary

Special Entrance Rate:

\$29,339 - Hourly

\$4,767.60 - 37.5 Hr. Monthly Salary

\$5,085.44 - 40 Hr. Monthly Salary

PROBATIONARY PERIOD:

This job has an initial and promotional probationary period of 12 months, except as provided in KRS 18A.111.

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.*

Performs entry level duties in the review and evaluation of applications and registrations and/or in the examination, investigation, and/or compliance review of financial institutions, information systems and processes, individuals, securities entities, and/or others participating in registered/licensed or unregistered/unlicensed activity. Learns appropriate procedures relevant to the procurement of institution or entity records. Under supervision, gathers data and prepares work papers, schedules, and/or other preliminary documentation. 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 a related field, or a juris doctorate.

EXPERIENCE, TRAINING, OR SKILLS:

NONE

Substitute EDUCATION for EXPERIENCE:

NONE

Substitute EXPERIENCE for EDUCATION:

Experience as a financial institution or securities examiner, or professional experience working for a financial institution or securities 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 registered/licensed securities broker, dealer, agent or investment advisor representative; or as an investigator of financial

fraud in the financial institutions or securities industries; or as an examiner, analyst or specialist at a state or federal regulatory agency will substitute for each year of the required education.

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

Must possess a valid driver's license prior to employment in this job classification. Must maintain any required licensure(s), certification(s), or other credentials for the length of employment in this job classification. Employing agency is responsible for ensuring employee possesses and maintains required licensure(s), certification(s) or other credentials.

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.*

As a trainee, learns appropriate state and federal laws and regulations, and established department policies, and procedures necessary to assist in the review and evaluation of applications and registration and/or to conduct examinations, investigations, and/or compliance reviews of financial institutions, information systems and processes, individuals, securities entities and others participating in licensed and unlicensed activity. Learns to gather and analyze relevant financial and supporting data to determine adequacy of the individual or entities operation, financial structure, management, internal operations, and other risk factors of the entity or individual. Learns to conduct non-complex examinations, investigations, and/or compliance reviews. Learns the policies and procedures necessary to perform routine tasks in the review and evaluation of applications and registrations. Under supervision of more experienced staff, may assume responsibility for completing specific sections of the examination, investigation and/or compliance report/review. Learns appropriate procedures for the entry, import, and maintenance of examination, investigation, or compliance review data within appropriate database for report creation and recordkeeping. Learns the complaint process. May begin collecting and synthesizing data in response to a complaint filed against an entity or individual.

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 employment, employees in this job classification may be 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 classification may be 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, sex, disability, age, national origin, religion, sexual orientation, gender identity or expression, pregnancy or related medical condition, marital or familial status, ancestry, political affiliation, genetic information, or veteran status in accordance with state and federal laws.