



COMMONWEALTH OF KENTUCKY JOB CLASS SPECIFICATION

FINANCIAL INSTITUTIONS EXAMINER SUPV

Job Number: 20000875

Job Code: 34360V250216

Job Group: 3400 - FINANCIAL EXAMINATION

Job Established: 06/01/1989

Job Revised: 02/16/2025

Grade: 17 Salary (MIN - MID):

\$30,082-\$45,123 - Hourly

\$4,888.34-\$7,332.50 - 37.5 Hr. Monthly Salary

\$5,214.22-\$7,821.32 - 40 Hr. Monthly Salary

Special Entrance Rate:

\$42,950 - Hourly

\$6,979.38 - 37.5 Hr. Monthly Salary

\$7,444.68 - 40 Hr. Monthly Salary

PROBATIONARY PERIOD:

This job has an initial and promotional probationary period of 6 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.*

Supervises employees and performs professional-level regulatory and resource management duties to ensure the efficient, quality, and timely supervision and regulation of all financial institutions, information systems and processes, individuals, securities entities, and/or others participating in registered/licensed or unregistered/unlicensed activity within a defined industry; 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 a related field, or a juris doctorate.

EXPERIENCE, TRAINING, OR SKILLS:

Must have five years of experience as a financial institutions or securities examiner, or as a licensed attorney with the financial services industry; or eight years of professional experience as an officer, accountant, internal auditor, compliance officer, analyst or related professional in a financial institution; or eight years of professional experience as a registered/licensed securities broker, dealer, agent or investment advisor representative; or eight years of professional experience as an investigator of financial fraud in the financial institutions or securities industries; or five years of professional experience working for a state or federal financial institutions or securities regulatory agency.

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 on a year-for-year basis.

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.*

Controls and coordinates the work of employees regulating financial institutions, information systems and processes, individuals, securities entities, and/or others participating in licensed and unlicensed activity. Performs the examination, investigation, and/or compliance review, supervision, resource management, and related responsibilities necessary to ensure that the entities/individuals within a defined financial services industry are effectively and efficiently examined, investigated, reviewed, or otherwise supervised in accordance with state and/or federal statutes, administrative regulations, and established departmental policies and procedures. Schedules examinations, investigations, and/or compliance reviews and assigns personnel. Serves as examiner-in-charge or assists in conducting examinations, investigations, and/or compliance reviews of regulated entities or individuals regardless of size or complexity. Monitors examination, investigation, and/or compliance review processes and reviews reports or other written documentation of the team's findings. Supervises examiners/investigators and evaluates their work product and job performance. Assists in planning and scheduling examiners'/investigators' technical and career- development training. Recommends personnel actions. Reviews and approves examiners'/investigators' time sheets, travel vouchers, and training requests. Represents branch, division, and/ or agency at management, industry, and/or regulatory conferences. Assists agency's executive management, investigative, and administrative staff in researching and resolving complex and sensitive issues. Keeps abreast of industry trends and regulatory changes and maintains high visibility with regulated industries and, if applicable, with counterparts in other state and/or federal financial institutions or securities regulatory agencies. Trains less experienced examiners.

UNIQUE PHYSICAL REQUIREMENTS:

Must be able to transport personal (laptop) computer, printer, adding machine/calculator, and 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 both remotely and in the offices of the financial institution or securities entity being examined or investigated. Will require periodic travel to supervised entities, which may be in or out of state). Travel for work outside the 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. 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.