

Top 5 Ways DFI Helps Kentuckians Make Wise Financial Decisions & Prevents Financial Harm & Abuse

The DFI:

- 1 Oversees all state-licensed, registered or chartered financial companies operating in Kentucky.
- 2 Conducts periodic, on-site examinations of regulated entities to ensure compliance with statutes and regulations.
- 3 Performs thorough investigations into consumer and investor complaints, resulting in millions of dollars in restitution ordered.
- 4 Investigates possible fraud regarding financial transactions, resulting in legal action to remove bad actors from the industry.
- 5 Partners with other state and federal agencies to provide financial literacy programs to help consumers and investors make wise financial decisions and avoid potential fraud.

How to Apply

Visit <https://personnel.ky.gov> and click "Find a Job." To apply for job postings, you must create a profile. Once you have an account, log in to access your profile and use job seeker tools. You can also use the QR code below to find open positions on our website.



KY Department of Financial Institutions

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Frankfort, KY 40601

<http://kfi.ky.gov>

Phone: 800-223-2579

Kentucky Relay Service: 711

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TTY to Voice: 800-648-6056

Facebook & Twitter: @KYDFI

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Kentucky Department of Financial Institutions



About Us

The Department of Financial Institutions (DFI) is the state agency that supervises the financial services industry in Kentucky. DFI is part of the Public Protection Cabinet. DFI employs approximately 100 people in highly skilled positions, many of whom are examiners. More than half of DFI's staff works in the field, traveling to conduct examinations and/or investigations.

What We Do

DFI charters, licenses and registers various financial institutions, securities firms and professionals.

Division of Depository Institutions

Staff examine banks, holding companies, trust companies and credit unions. Often working in teams, examiners review and analyze information including financial condition, loan portfolios, operations and more.



Division of Non-Depository Institutions

Staff examine mortgage loan brokers and companies, consumer loan companies, deferred deposit companies, industrial loan companies and money transmitters. Working individually or in small groups, they evaluate company policies, practices and compliance with statutes. Some examiners take complaints and conduct investigations, while others investigate new licensing applications and annual renewals.

Division of Securities

Securities examiners review applications; register securities offerings; register, examine and/or investigate securities broker-dealers and their agents, investment advisers and others.

Other Positions

DFI also uses a highly skilled administrative and technical support staff. DFI employs managers, attorneys, administrative and fiscal specialists, human resources specialists and information technology staff.

Education Requirements

Examiner positions generally require a bachelor's degree in:

- Accounting
- Business Administration
- Economics
- Finance
- Or a related field of study

A juris doctorate degree or experience as an examiner and/or within the industry may substitute for the required education. Examiner positions higher than entry level also may require experience, but a master's degree in a related field of study may substitute for a portion of the time.