

**T**he Department of Financial Institutions (DFI) is the state agency in the Public Protection Cabinet that supervises the financial services industry in Kentucky, including chartering, licensing, and registering various financial institutions, securities firms, and professionals. DFI seeks talented, qualified individuals interested in working in an agency with a mission to serve the public and regulate the financial services industries.

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 financial institutions to conduct examinations and/or investigations.

### **DIVISION OF DEPOSITORY INSTITUTIONS**

Staff examines banks, holding companies, trust companies, and credit unions. Often working in teams, examiners review and analyze information including management structure, loan portfolios, operations, and more.

### **DIVISION OF NONDEPOSITORY INSTITUTIONS**

Staff examines mortgage loan brokers and companies, small loan companies, payday lenders, 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. Other staff processes applications and 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 utilizes a highly skilled administrative, secretarial, and technical support staff. DFI employs managers, attorneys, administrative and fiscal specialists, human resources specialists, and technology staff.



### **EDUCATION REQUIREMENTS**

Examiner positions generally require a bachelor's degree in one of the following:

- 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.

### **HOW TO APPLY**

To apply, use the Personnel Cabinet's online employment system, the Career Opportunities System (COS). To search for job openings, visit the Personnel Cabinet website at <https://personnel.ky.gov> and click on "find a job," then "search and apply." To apply for job postings, you must create a COS account online. Once you have an account, log in to access your profile and use job seeker tools, such as instant email notification about vacancies of interest.

*To join our team, apply through the Personnel Cabinet website, <https://personnel.ky.gov>, or call 502-564-8030. For more information on DFI, call 800-223-2579 or visit <http://kfi.ky.gov/about/Pages/employment.aspx>.*

# TOP 5 REASONS TO WORK AT DFI

**1** DFI employees make a difference by protecting the public and enhancing the safety and soundness of financial institutions in Kentucky.

**2** DFI offers flexible work schedules and leave time.

**3** Employees receive education, training, and opportunities for promotions and certifications.

**4** DFI hires great people who are hard-working professionals and managers who care.

**5** DFI jobs offer variety in task assignments, and creativity is encouraged.

*NOTE: Answers provided and ranked according to an informal survey of DFI employees.*

## COMMONWEALTH OF KENTUCKY DEPARTMENT OF FINANCIAL INSTITUTIONS



If you have questions or would like to request additional copies of this brochure at no cost, contact:

**Kentucky Department  
of Financial Institutions**  
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Frankfort, KY 40601  
800-223-2579  
<http://kfi.ky.gov>

*The Department of Financial Institutions is an agency of the Public Protection Cabinet*

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# CAREER OPPORTUNITIES



Discover a  
**REWARDING**  
career at the  
Kentucky Department  
of Financial Institutions

