

NEBRASKA DEPARTMENT OF BANKING & FINANCE

Position Opening: Bank Secrecy Act Examiner Specialist

The Nebraska Department of Banking & Finance has a permanent full-time opening for the position of Bank Secrecy Act Examiner Specialist. This position is an at-will (non-classified), non-exempt position. If you are interested in applying for this position, you must complete a State of Nebraska application form. To apply online, log on to <http://statejobs.nebraska.gov>. If you have questions, please contact State Personnel at 402/471-2075, or send an email to state.jobs@nebraska.gov.

Class Title: Bank Secrecy Act Examiner Specialist

Salary Range: \$60,611 to \$100,932 annually

Closing Date: 11/18/2016

The Nebraska Department of Banking and Finance (NDBF) is responsible for regulating state chartered financial institutions and securities offered or sold in the State of Nebraska, or to Nebraska residents. The Bank Secrecy Act (BSA) Examiner Specialist must be able to conduct examinations related to the Bank Secrecy Act and Financial Recordkeeping regulations in financial institutions. Findings must be presented in a manner that addresses the technical requirements of the program as well as the impact on the safety and soundness of the institution. Examiner Specialist must also be able to serve as a liaison with federal regulatory agencies and compile and submit complex reports on behalf of the Department. The individual filling this position may live in or near any one of the three NDBF districts: Lincoln, Omaha, or Kearney.

NOTE: Applicants are required to submit a resume and cover letter addressing their knowledge and experience in analyzing Bank Secrecy Act / Anti-Money Laundering Programs.

Essential Duties:

- Perform BSA examinations in NDBF supervised entities. Typically, BSA examinations will be conducted on financial institutions, varying in complexity, including commercial banks, credit unions, independent trust companies, and real estate mortgage loan originators. However, the examination duties may extend into holding companies, information service providers as well as other NDBF supervised entities.
- The examination process includes pre-exam preparation of work programs as well as the coordination of resources. Complete a thorough and accurate analysis of the institution's Bank Secrecy Act and Anti-Money Laundering (AML) program including procedures related to: program oversight; policies and controls; independent review; training; Customer Identification Program; Office of Foreign Assets Control; currency transactions; and suspicious activity. Review the institution's compliance with applicable laws and regulatory guidance. Conduct effective and informative discussions, meetings, and exit reviews with management and present findings at a technical level as well as in relation to the impact on the institution's overall risk profile. Understand, explain, and recommend appropriate tools to measure and mitigate risks as well as best practices relative to BSA/AML and safety and soundness. Prepare a written report of examination, supported by retained work papers, based upon current examination philosophies, mitigating issues of risk, and significance

of risk to the safety and soundness of the institution. Ensure timely completion and submission of reports of examination within established guidelines. • Act as a BSA and safety and soundness resource to the Department. Support other NDBF examiners, attorneys, and others as the job requires. Travel as the job demands (including some overnight travel), and work efficiently and professionally in both a supervised and non-supervised environment. • Review workpapers and report comments prepared by other examiners and provide assistance, training, and constructive feedback as necessary. Work both as an examiner-in-charge and in a support capacity as the job requires. • Provide on-the-job and class room (personal as well as web based) training to all levels of examiners. Recommend and prepare technical training tools and standards for other examiners conducting BSA examinations. Occasionally conduct training sessions to inform examiners of current BSA policies and practices as well as emerging risks and efficiency opportunities. • Establish and maintain (with approval) the Department's examination standards, training materials, and resources for the discipline. At least annually recommend policy and procedure changes/updates related to BSA examinations. • Participate in various regulatory and industry-sponsored training activities to enhance professional skills and/or represent the Department. Actively commit to staying updated on current issues and trends relating to BSA and banking. Attend education and training sessions that are appropriate and as directed by Department staff. • Represent the Department as an Examiner Specialist in meetings with the FDIC, Federal Reserve or other regulatory bodies, as well as occasional public speaking commitments with various outside groups, both small and large. • Perform, or assist the administrative and legal staff with any special examination, investigation, formal hearing, and/or assignments as directed by Department staff. • Prepare accurate and detailed reports for submission to FinCEN. Serve as liaison for the Department with FinCEN and the IRS. • Participate and/or lead other areas of safety and soundness examinations in addition to BSA, including operations, loan review, other specialty areas, and serving as examiner-in-charge. • Strive to maximize billable time, while minimizing overtime.

Qualifications/Requirements:

REQUIRED: Bachelor's or graduate degree from an accredited college or university in business administration, finance, accounting, or economics. A minimum of six semester hours in accounting is required. To qualify as a BSA Examiner Specialist, the individual must be a Senior (Commissioned) Examiner with a minimum of three years' experience in BSA/AML examination.

OTHER: Must have a valid driver's license and evidence of vehicle insurance, or the ability to provide independent authorized transportation. Must be willing and able to travel overnight as the job requires.

Knowledge, Skills and Abilities:

Knowledge of the theory and practice of examining, analyzing data, and preparing reports. BSA and AML knowledge, skills, and ability to educate and lead others. Strong computer skills are necessary, including proficiency with MS Word and Excel. Ability to communicate professionally and effectively both in oral and written form. Must be able to present findings, recommendations, comments, and conclusions in a clear, concise, and constructive manner. Must possess strong leadership and conflict resolution skills. Must be able to meet deadlines, work independently, and be a team player capable of working well with fellow examiners, examiners of other regulatory agencies, Department staff, and the personnel of financial institutions examined.