

STATE OF CALIFORNIA – DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION
POSITION DUTY STATEMENT
DFPI-HRO 203 (Rev. 08-21)



NAME	EFFECTIVE DATE
CLASSIFICATION TITLE Financial Institutions Examiner	POSITION NUMBER
WORKING TITLE Forensic Examiner	DIVISION/OFFICE/UNIT/SECTION Enforcement
BARGAINING UNIT R01	GEOGRAPHIC LOCATION Multiple

General Statement: Under the close supervision of the Financial Institutions Manager, the Financial Institutions Examiner is responsible for the examination of the financial condition of institutions, business firms, and services that are regulated by the Department of Financial Protection and Innovation (DFPI) in the Enforcement unit. Duties include, but are not limited to, the following:

A. Specific Assignments

Essential Functions:

- 35%** Plans, organizes and conducts examinations and investigations into the financial transactions of individuals and business entities to detect and obtain evidence of administrative and/or civil violations of the various laws administered by the DFPI. Develops audit and/or investigative plans and utilizes spreadsheets/advanced functions to inventory production and analyze various documents including offerings and solicitation documents; executive summaries; client, employee, and contractor lists; bank transactions; financial records; general ledgers; and other books and records. Develops, tracks, and reviews witness questionnaires. Document exam procedures, report findings, and provide recommendations regarding additional courses of action to departmental counsel.
- 35%** Assists departmental counsel and/or Senior Financial Institution Examiners in the preparation of subpoenas; locating, gathering, and reviewing evidence; determining the relevance of evidential data; and preserving evidence. Assists departmental counsel in preparing cases for administrative and civil proceedings; testifies in administrative hearings and civil trials regarding findings from information analyzed during examinations and investigations.
- 25%** Prepares declarations and/or reports reflecting examination findings evidencing violations of laws administered by the DFPI or affecting the public. Follows up on Desist and Refrain orders and prepares written reports on findings by reviewing

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case summaries and new complaints; identifying subjects and issues; and searching databases and other resources to determine if department orders have been violated.

MARGINAL FUNCTIONS

5% Performs other job-related duties as required.

B. Supervision Received

The Financial Institutions Examiner reports directly to and receives assignments from the Financial Institutions Manager; however, directions and/or Examiner requests may also come from the Deputy Commissioner, Enforcement Counsel, and Senior Examiners.

C. Supervision Exercised

None

D. Administrative Responsibility

None

E. Personal Contacts

The incumbent interacts with Enforcement Counsels, Investigators, Examiners, Legal support, programs, Department of Justice, Attorney General, District Attorneys, and various federal/state agencies when completing examinations and investigations at the request of Counsels. Investigations are confidential and sensitive, involving company books and records, financial statements, bank records, and investigative reports. The incumbent interacts frequently with Counsels on every case assigned and as often as 10 times per week depending on the complexity of the cases. All other contacts occur on an as-needed basis and no more than five times per month.

F. Actions and Consequences

When the job is not inadequately performed, it significantly compromises the Department's ability to protect investors and borrowers. The Department will not be able to ensure all licensees meet regulatory requirements or detect fraud and abusive practices resulting from unlicensed activity, which may cause harm to the public. Consequences include the inability to: (1) complete examinations and investigations of unlicensed activity; bring administrative orders to stop violations of the laws; deny, censure, suspend, revoke, or take possession of Licensees; censure, suspend, or bar individuals from participating in a regulated industry (2) issue civil injunctive actions to enjoin violations of the laws; obtain equitable remedies including rescission, restitution and penalties against violators, and (3) assist in the criminal investigation and prosecution of laws; refer criminal violations to the appropriate United States Attorney, Attorney General or District Attorney for prosecution.

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G. Functional Requirements

Telework is offered for this position. Dependent on the telework arrangement, the incumbent works 40 hours per week in an office setting, with artificial light and temperature control. The use of a personal computer, telephone, and copier is essential to the duties of this position. The position may require bending and stooping to retrieve files, sitting, and standing consistent with office work, and light lifting of no more than 10 pounds occasionally. The position requires answering telephones; communicating with Personal Contacts via Microsoft Teams; receiving verbal information from outside sources; and understanding verbal instructions.

H. Other Information

The incumbent possesses the ability to work independently and in a team environment, has good interpersonal skills, and can follow directions, take initiative, assume responsibilities, and exercise good judgment and tact. Have strong oral and written communication skills. Must be able to work independently without much guidance or interaction from other staff.

Knowledge of accounting and auditing principles and procedures; business law; statistics; information systems programs; and the English language with proficiency in reading, writing, and grammar.

Knowledge of Microsoft Suite products including Word, Excel, and PowerPoint

Ability to apply specialized examination practices and procedures as well as analyze financial and operating statements, reports, and records relating to licensee operations. Ability to gather, organize, analyze, and summarize financial data and draw logical conclusions. Perform arithmetical computations and experience in spreadsheet and word processing software packages.

Willingness to work in a variety of settings. This position may require traveling to licensees, unlicensed entities, other locations, and occasional travel to conferences, meetings, and training events. Travel is primarily done by driving, but also includes periodic air travel, overnight travel, and occasional overtime.

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CONFLICT OF INTEREST

This position is subject to Title 10, § 250.30 of the California Code of Regulations, the Department of Financial Protection and Innovation's Conflict of Interest Regulations, the incumbent is required to submit a Statements of Economic Interests (Form 700) within 30 days of assuming office, annually by April 1st and within 30 days of leaving office.

FINGERPRINTING

Title 11, section 703 (d) of the California Code of Regulations requires criminal record checks of all personnel who have access to Criminal Offender Record Information (CORI). Pursuant to this requirement, applicants for this position will be required to submit fingerprints to the Department of Justice and be cleared before hiring. In accordance with DFPI's (CORI) procedures, clearance shall be maintained while employed in a CORI-designated position. Additionally, the position routinely works with sensitive and confidential issues and/or materials and is expected to maintain the privacy and confidentiality of documents and topics pertaining to individuals or to sensitive program matters at all times.

I have read and understand the duties listed above and I can perform these duties with or without reasonable accommodation. (If you believe reasonable accommodation is necessary, discuss your concerns with the hiring supervisor. If unsure of a need for reasonable accommodation, inform the hiring supervisor, who will discuss your concerns with the Health & Safety analyst.)

Employee Signature

Date

Employee's Printed Name, Classification

I have discussed the duties of this position with and have provided a copy of this duty statement to the employee named above.

Supervisor Signature

Date

Supervisor's Printed Name, Classification