

**Department of Financial Protection and Innovation**

Position Duty Statement

DFPI HRO 203 (Rev. 07-2021)

<b>NAME</b> Vacant	<b>EFFECTIVE DATE</b>
<b>CLASSIFICATION TITLE</b> Financial Institution Examiner (FIE)	<b>POSITION NUMBER</b> 410-322-1401-023
<b>WORKING TITLE</b> Licensing Examiner	<b>DIVISION/OFFICE/UNIT/SECTION</b> Corporations/FSO/CFL Licensing
<b>BARGAINING UNIT</b> R01	<b>GEOGRAPHIC LOCATION</b> Los Angeles

**General Statement:** Under the general supervision of the Financial Institutions Manager (FIM), the FIE independently conducts a review and determines compliance with the requirements to obtain a California Financing Law (CFL) license. The FIE position works at the journeyman-level of the FIE classification series and has the ability to independently plan and manage higher-level assignments that distinguishes them from the lower-level examiners. Duties include, but are not limited to, the following:

**A. Specific Assignments [Essential (E) / Marginal (M) Functions]:**

- 45% (E)** Reviews and evaluates license applications submitted to the Department to determine compliance with statutory requirements under the CFL.
  - Reviews such factors as the applicant’s criminal history, credit reports, business plans, education, testing, civil actions, administrative actions, bonding and financial stability to ensure compliance with State and Federal rules and regulations, and issues or provides recommendation for issuance of a CFL license.
  - Accesses, reviews, and updates applications utilizing internal (DOCQNET) and external Nationwide Mortgage Licensing System to ensure that applications are accurately and timely processed; and trains less experienced examiners on the CFL application review process.
  - Discusses with applicants, their attorneys, and/or their independent accountants, problems or deficiencies relating to the application, and prepares deficiency letters outlining items needed to complete the processing of the application.
  - Serves as a witness in administrative hearings concerning qualifications for licensing.
  
- 35% (E)** Shares knowledge and provides guidance to examiners, the public, applicants and licensees on the CFL application process and/or licensing requirements. Timely responds to telephone inquiries and provides prompt, professional directions to callers.
  
- 15% (E)** Processes modifications to licenses such as address changes, surrenders of license, sponsorship changes, new officers, changes of ownership and name changes. Monitors status of licensee bonds to ensure continuous coverage. Prepares monthly statistical reports and updates amendment status spreadsheet.

**5% (M)** Performs other related duties as required. Travel is required 5% of the time and is primarily done by driving, but also includes frequent air travel, overnight travel, and occasional overtime

**B. Supervision Received**

The Financial Institutions Examiner reports directly to and receives the majority of assignments from the Financial Institutions Manager; however, direction and assignments may also come from Senior Financial Institutions Manager.

**C. Supervision Exercised**

None

**D. Administrative Responsibility**

None

**E. Personal Contacts**

1) peers: employees of DFPI and other governmental agencies (i.e., Local/federal); 2) General public, departmental applicants and/or licensees.

**F. Actions and Consequences**

Program not being able to meet its statutory licensing requirements. Program would not be able to process applications within the required timeframes. Furthermore, the CFL Program would be less effective in regulating an industry which conducts business with some of the most vulnerable consumers who need the greatest protection.

**G. Functional Requirements**

The incumbent works 40 hours per week in an office setting, with artificial light and temperature control. The use of a personal computer, telephone, copier and fax machine is essential to the duties of this position. The position requires 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; receiving verbal information from outside sources; and understanding verbal instruction.

**H. Other Information**

Possesses ability to work independently as well as a team member, good interpersonal and communication skills, ability to follow directions, take initiative, and exercise good judgment and tact. Position requires a high degree of self-direction and independent decision making. Must be able to work alone without much guidance or interaction from other staff. This position requires traveling to licensee headquarters and agents of licensees.

**CONFLICT OF INTEREST**

This position is subject to Title 16, section 3830 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.)

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Employee Signature Date

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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.**

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Supervisor Signature Date

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Supervisor's Printed Name, Classification