Regulatory/Legal Analyst - Position Description

Summary of position: The North American Securities Administrators Association, a nationally recognized association based in Washington, D.C., dedicated to supporting the work of state and provincial securities regulators and the investing public, is looking for a full-time Regulatory/Legal Analyst to support the work of NASAA and its members in the following areas: use of the Central Registration Depository (CRD) and Investment Adviser Registration Depository (IARD) systems, administration of NASAA 63/65/66 Examinations, project management and day-to-day assistance to five attorneys in the Association's Legal Department. The successful candidate will be highly-motivated, with a positive attitude, great attention to detail, and a commitment to excellence. He or she must possess the ability to multi-task, coordinate work flow, and function well as a team player. Responsibilities will vary significantly, ranging from drafting and managing documents and workflows related to CRD policy work to working on issues related to NASAA's 63/65/66 Examinations. There will be a small administrative component to the position, but the majority of the tasks will require independent work, with some high-level supervision. This position offers a competitive compensation package, including full medical and dental benefits; disability insurance; life insurance; and retirement fund options.

Responsibilities of the Regulatory/Legal Analyst will include:

- Drafting and managing documents relating to CRD policy and regulatory work and managing workflows regarding these issues; drafting of documents includes summarizing arbitration pleadings and other legal matters.
- Analyzing membership and regulatory information and writing short summaries and memoranda regarding findings; prepare charts, graphs and other materials.
- Providing support, in conjunction with NASAA lawyers and NASAA's Database Manager, to the following NASAA Committees: CRD/IARD Steering, CRD/IARD Forms, EFD Steering: Technology, NEMO Operations, Exams Advisory, and other related committees and project groups; support of these committees will include drafting internal reports and performing research.
- Providing project management support for the development of the NASAA 63/65/66 exams;
- Responding to inquiries from the Association's members and from the public regarding NASAA 63/65/66 exams.
- Performing administrative duties such as managing corporate documents and internal reports, preparing correspondence; editing/proofing draft legal documents, and other general administrative duties (15% to 20%); and
- Performing other duties as assigned.

Qualifications for Regulatory/Legal Analyst:

- Bachelor's degree.
- Experience as a legal assistant, paralegal, or project manager, or as a compliance analyst, or with a federal or state securities regulator.
- Ability to use Microsoft Outlook, Office (Word, Excel, PowerPoint) and cloud-based technologies.
- Excellent attention to detail and adaptability to varied work assignments.

- Demonstrated ability to manage multiple assignments, including deadline-driven assignments and medium to high email correspondence volume.
- Meets deadlines and completes projects independently with minimal supervision.
- Project management or docket management experience.
- Effective communicator, both orally and in writing, with colleagues, Association members and the public.
- Positive attitude and an ability to work as a team member.
- An interest in investor protection and securities regulation.

NASAA is an equal opportunity employer and does not discriminate in hiring or employment on the basis of race, color, religion, national origin, citizenship status, age, disability, sex, veteran status or any other characteristic protected by applicable federal, state or local laws, regulations or ordinances. We are committed to diversity in the workplace and promote a drug-free environment.

To apply:
Send cover letter, resume, salary expectations, and references to hr@nasaa.org.