

Deputy General Counsel Position

Summary of position: The North American Securities Administrators Association (NASAA), a prominent Washington D.C. association devoted to supporting the work of state and provincial securities regulators, is seeking to hire an attorney to fill the Deputy General Counsel position within the Association's Legal Department. A successful candidate will have strong legal skills, a positive attitude, the ability to motivate and manage legal department employees, a strong background in securities regulation, a strong commitment to investor protection, and a desire to work in an association environment. Responsibilities will range from providing advice on corporate governance matters to conducting legal and regulatory analysis in the securities field.

The responsibilities of the Deputy General Counsel will include the following:

- Support the work of NASAA and its members in the areas of corporation finance, and broker-dealer/investment adviser regulation and enforcement.
- Serve as lead lawyer in supporting the work of at least two to three committees working in the areas of broker-dealer regulation, investment adviser regulation, or corporation finance. Support the work of the NASAA Board of Directors, through drafting of documents for Board meetings, drafting Board minutes, serving as a liaison between the Board and various committees.
- Provide subject matter expertise to the development of the NASAA 63/65/66 exams.
- Conduct legal research and drafting legal memoranda.
- Prepare or assist in the preparation of comment letters in response to SEC, FINRA and MSRB rule proposals, as well as legislative proposals.
- Draft, assist or supervise in the preparation of amicus briefs involving complex issues of state and federal securities laws.
- Assist in the analysis of proposed state and federal legislation.
- Respond to inquiries from the Association's members and from the public involving state and federal securities laws.
- Support activities of NASAA representative in connection with at least one external working group or inter-regulatory Committee where NASAA has a representative.
- Review vendor contracts (ranging from hotel contracts to service providers such as Westlaw) and supervise lower-level review of vendor contracts.

Qualifications for Deputy General Counsel:

- JD degree from an accredited U.S. law school.
- Admission to a U.S. state bar (DC preferred; eligibility to waive into DC preferred).
- A minimum of eight to ten years professional experience as an attorney with specialized experience and demonstrated subject matter expertise in U.S. securities regulation preferred.
- A strong interest in investor protection and securities regulation.
- Strong legal research, analysis, and writing skills.
- Positive attitude and an ability to work as a team member.
- Strong technical and interpersonal management skills and ability to motivate.
- Attention to detail and adaptability to varied work assignments

To apply: Send cover letter, resume, writing sample, salary expectations, and references to Jennifer Marsoni (jm@nasaa.org).