

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 counsel position within the Association's Legal Department. A successful candidate will have strong legal skills, a positive attitude, a 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 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.
- Support the operations of the NASAA Electronic Filing Depository ("EFD") and respond to regulator and filer inquiries regarding the EFD.
- Support the work of at least two to three larger Section Committees or Board Committees.
- 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 Section or Board Committees.
- Provide subject matter expertise to the development of NASAA 63, 65 and 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 or assist in the preparation of amicus briefs.
- Assist in the analysis of proposed state and federal legislation.
- Respond to inquiries from the Association's members and from the public.

Qualifications for Counsel:

- JD degree
- Admission to a state bar (DC preferred)
- A minimum of two to three years professional experience as an attorney with specialized experience in securities regulation preferred.
- Demonstrated interest in securities or financial services regulation
- Strong legal research, analysis, and writing skills
- Positive attitude and an ability to work as a team member
- Attention to detail and adaptability to varied work assignments

To apply: Send cover letter, resume, writing sample and references to Faye Gordon at fg@nasaa.org.