

Assistant General Counsel

Summary of Position: The North American Securities Administrators Association (NASAA), a prominent Washington, D.C. association, entering its second century of service in support of state and provincial securities regulators, is seeking to hire an Assistant General Counsel. NASAA's 67 members include the securities regulators in all 50 U.S. states, Puerto Rico, the U.S. Virgin Islands, the District of Columbia, the provincial and territorial securities regulators in Canada, and the CNBV of Mexico. As Assistant General Counsel, you will work closely with NASAA's legal team and with other members of the NASAA staff on a variety of initiatives and will regularly engage with state, provincial, and federal securities regulators. The position reports to NASAA's General Counsel.

Candidates should have a broad background in securities regulation, a positive attitude, strong legal research and writing skills, a commitment to investor protection, and a desire to work in an association environment. Responsibilities include providing advice on the interpretation and application of securities laws and regulations, conducting legal and regulatory analysis in the securities field, and handling corporate governance matters. This position offers a competitive compensation package, including medical and dental benefits, disability and life insurance, and retirement fund options.

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

- Support the work of NASAA and its members in the areas of corporation finance, broker-dealer and investment adviser regulation, and securities enforcement.
- Conduct legal research and draft legal memoranda regarding current issues in state and federal securities law at the direction of the General Counsel.
- Assist in the drafting of comment letters in response to SEC, FINRA, and state rule proposals.
- Draft, or assist in drafting, NASAA amicus briefs filed in federal or state courts.
- Support the work of the NASAA Board of Directors through drafting documents for Board meetings, drafting Board minutes, serving as a liaison between the Board and NASAA sections or committees, and assisting with Board elections.
- Support activities of NASAA representatives on external working groups or committees in which NASAA participates.
- Support NASAA's technology initiatives including the Electronic Filing Depository and the NASAA Examinations Module system.
- Respond to inquiries from the Association's members and from the public.
- Supervise counsel(s) in certain activities (including, but not limited to, comment letters and work of NASAA's sections and committees).
- Regularly review contracts, MOUs, agreements and other legally binding agreements routed for review and approval pursuant to internal NASAA policies and procedures.
- Periodically review governing documents for updates, including taking a lead role on governance projects.
- Support multistate enforcement initiatives by NASAA members.

Qualifications for Assistant General Counsel:

- JD degree.
- Admission to a state bar (admission to the DC bar, or ability to waive-in to DC bar, is preferred).
- A minimum of four years professional experience as an attorney.
- Demonstrated subject matter expertise in securities regulation (experience in state securities regulation or regulation of securities offerings, broker-dealers and investment advisers preferred).
- Strong legal research, analysis, and writing skills.
- A strong interest in investor protection and securities regulation.
- Ability to work effectively on an independent basis.
- Attention to detail and adaptability to varied work assignments.
- Positive attitude and an ability to work as a team member.
- Proven ability to collaborate with colleagues at all levels in a diverse professional environment.
- Strong interpersonal skills and ability to motivate others.
- Effective public speaking skills.

To apply, send a cover letter, resume, and writing sample by email to NASAA Human Resources at hr@nasaa.org. Please include “Assistant General Counsel” in the subject line of your email.

To learn more about NASAA, visit us at www.nasaa.org.

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.