

General Counsel

Summary of Position: The North American Securities Administrators Association (NASAA), a prominent Washington D.C. non-profit membership association, entering its second century of service in support of state and provincial securities regulators, is seeking to hire a 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 General Counsel, you will lead NASAA's legal team on a variety of initiatives, work closely with other department heads, and regularly engage with state, provincial, and federal securities regulators. You will oversee and advise on all legal issues facing NASAA and have primary responsibility for monitoring and ensuring compliance with all relevant legal and governance requirements. The position reports to the Executive Director and is a member of the senior management team.

Candidates should have strong legal skills including a background in securities regulation, a positive attitude, a commitment to investor protection, and a desire to work in an association environment. The General Counsel serves both a policy and legal role at NASAA. As the director of the NASAA legal department the General Counsel is responsible for managing a team of up to 3 attorneys and 1 support staff in carrying out specific responsibilities on behalf of the Association. The General Counsel also works closely with other department leads at NASAA in the development and execution of various state and federal policy initiatives undertaken by the Association. This position offers a competitive compensation package, including medical and dental benefits; disability and life insurance; and retirement fund options.

The responsibilities of the General Counsel will include the following:

- Provide advice to NASAA's leadership and members on federal and state securities laws.
- Counsel NASAA's leadership on issues related to the interpretation and application of NASAA's governing documents.
- Supervise the legal staff in carrying out all aspects of the Corporation's legal and regulatory policy activities, including regulatory comment letters, amicus briefs, and legislative advice.
- Provide chief of staff advice and support to the Executive Director for regulatory policy workstreams, Board meeting preparation and stakeholder management; participate in discussions regarding various policy initiatives under consideration by the Association.
- Coordinate with NASAA's Director of Policy in reviewing and commenting upon proposed federal and state legislation.
- Review speeches, congressional testimony, communications, or legal writings which may be undertaken by the Executive Director, President, Board of Directors, and NASAA Committees, Sections and Project Groups as appropriate.
- Review or oversee review of proposed contracts with vendors and other third parties.

- Provide legal and operational support to NASAA’s technology initiatives including the Electronic Filing Depository and the NASAA Examinations Module System.
- Manage all legal matters pertaining the maintenance of a 501(c)(3) non-profit corporation; review, and where appropriate, draft modifications to NASAA's Governing Documents.
- Collaborate with Director of Financial and Operations regarding internal matters such as personnel and employee benefits.
- Retain and manage such specialized legal representation as NASAA may require from time-to-time.
- Represent NASAA and present NASAA’s views on various issues at conferences and in meetings with federal regulators.
- Support NASAA representatives serving on external working groups and committees including the Financial Stability Oversight Council (FSOC).

Qualifications for General Counsel:

- JD degree.
- Admission to a state bar (admission to the DC bar or ability to waive in is a plus).
- A minimum of 10 years professional experience as an attorney including 2 years of management experience.
- A strong interest in investor protection and securities regulation.
- Demonstrated subject matter expertise in securities or financial services regulation.
- Strong legal research, analysis, and writing skills.
- Ability to work effectively independently with limited guidance.
- Positive attitude and an ability to work as a team member.
- Demonstrated ability to lead a high performing team and proven ability to collaborate with colleagues at all levels in a diverse professional environment.
- Effective public speaking skills.
- Attention to detail and adaptability to varied work assignments.
- Prior experience providing legal support to Boards of Directors or service on for profit and/or non-profit boards is an advantage.
- Ability to travel up to 30 percent of the time (particularly to Board meetings, committee meetings, and conferences).

To apply, send a cover letter, resume, and writing sample by email to NASAA Human Resources at hr@nasaa.org. Please include “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.