

## **Assistant Director of Policy & Assistant General Counsel**

**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 an Assistant Director of Policy and Assistant General Counsel. The Assistant Director of Policy and Assistant General Counsel (ADP/AGC) works in both the policy and legal departments of NASAA. The ADP/AGC has a reporting line to the Director of Policy and an indirect (dotted) reporting line to the General Counsel. The ADP/AGC primarily works on policy matters as assigned by the Director of Policy with significant additional responsibilities as assigned by the General Counsel. The time split between responsibilities will be generally 60% policy/government affairs and 40% legal department, with the understanding that this time allocation may shift depending on the work demands. A successful ADP/AGC has strong legal and government affairs skills, a positive attitude, and the ability to motivate and manage both legal department and government affairs department employees, a strong background in securities regulation, a strong commitment to investor protection, and a desire to work in an association environment. This position offers a competitive compensation package, including full medical and dental benefits; disability insurance; life insurance; and retirement fund options.

### **The responsibilities of the Assistant Director of Policy (60% of ADP/AGC position) include the following:**

- Serving as a senior NASAA policy representative to Congress, the Administration, the U.S. Securities and Exchange Commission and other federal regulatory agencies.
- Serving as a senior NASAA representative to relevant non-profit, legal, and advocacy organizations.
- Assisting in the development of NASAA's federal and state legislative goals, including NASAA's biannual federal legislative agenda.
- Supporting NASAA committees by carrying out assignments as assigned by the Director of Policy, including especially committees focused on federal and state legislation.
- Analyzing and commenting on pending legislation as assigned by the Director of Policy, including by assisting in the preparation of testimony and similar policy statements.
- Drafting legislation
- Analyzing, monitoring, and periodically commenting on state legislative matters.

### **The responsibilities of the Assistant General Counsel (40% of ADP/AGC position) include the following:**

- Supporting the work of NASAA and its members in the areas of corporation finance, and broker-dealer/investment adviser regulation and enforcement.
- Serving as a lead lawyer in supporting the work of at least one larger Section or Board Committees.
- Supporting the work of the NASAA Board of Directors, through drafting of documents for Board meetings and serving as a liaison between the Board and Section or Board Committees.
- Drafting, assisting, or supervising in the preparation of comment letters in response to SEC, FINRA and MSRB rule proposals, as well as legislative proposals.
- Supervise counsels and analyst/paralegal in certain activities (including, but not limited to, comment letters and work for Committees and Sections).

With regards to the position as a whole, the ADP&AGC provides legal advice, analysis and expertise, and routinely interacts directly with NASAA members and leadership, including at in-person Board meetings and conferences, and assists them with a broad array of informational and other tasks related to the activities of Congress, the federal government and state and local governments.

**Qualifications for Assistant Director of Policy and Assistant General Counsel:**

- JD degree.
- Admission to a state bar (DC preferred).
- A minimum of 4 to 5 years professional experience as an attorney.
- Strong familiarity with Congress and/or state legislative processes.
- Demonstrated subject matter expertise in securities or financial services regulation; corporation finance or corporate law experience preferred.
- 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.
- Strong technical and interpersonal management skills and ability to motivate.
- Effective speaking skills.
- Attention to detail and adaptability to varied work assignments.
- A strong 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, writing sample, and references to [hr@nasaa.org](mailto:hr@nasaa.org).