

## Position Description

Title: Inside Counsel

Reports to: CEO, CCO/Managing Partner

Classification: Salaried Exempt

Benefits: Medical, Dental, Vision, Life, FSA, 401(k), Paid-Time Off, Paid Holidays

## Job Summary

The Inside Counsel is responsible for providing legal oversight, counsel, risk identification and management support to the firm. This individual will serve as a legal leader focusing on activities associated with the RIA and RIA clients.

## Duties and Responsibilities

Inside Counsel can expect to focus in the following areas:

- Advise on securities laws and regulations, particularly the Investment Advisers Act of 1940.
- Advise on personnel matters and employment regulations.
- Draft, negotiate, and execute agreements and contracts on behalf of the company.
- Offer counsel and legal advice to executives and employees on a variety of legal issues.
- Coordinate with the Compliance department to ensure appropriate and accurate policies and procedures.
- Utilize legal knowledge and skills to manage and mitigate potential risks.
- Draft and/or review firm contracts for services and employment.
- Identify and provide training to employees on legal topics as necessary.
- Draft policies and procedures and assist with implementation of compliance initiatives.
- Assist in litigation matters.
- Work closely with the Business Development team on advisor agreements and contracts.
- Review advertising and marketing material to ensure compliance with legal requirements.
- Stay current with industry trends and practices as they relate to the financial industry, technology, privacy, etc.
- Advise on contract status, legal risks, and the legal liabilities associated with contracts.
- Retain and manage outside counsel on specific legal matters as needed.
- Other responsibilities as assigned.

## Requirements and Qualifications

- Law degree from an accredited college or university.
- Must be admitted to a recognized bar.
- Minimum 5 years law practice required.
- Regulatory compliance experience, including law and regulation interpretation.
- Strong negotiation skills with both legal and financial issues.
- Be a strategic, emotionally intelligent thinker with the ability to instill trust and confidence with peers and stakeholders.
- Extensive knowledge of concepts, practices and procedures of the securities industry, preferably in the investment advisory business with a focus on registered investment advisers.
- Strong organizational and project coordination skills with the ability and experience to handle and prioritize multiple assignments and conflicting deadlines, while providing a high level of client service.
- Ability to work effectively under pressure with tight deadlines, with attention to detail, and the ability to handle conflict and negotiate resolution.
- Ability to be responsible for confidential and time sensitive material.
- Proficiency with windows-based software (e.g. Word, Excel, and PowerPoint) and Outlook is required.
- Excellent written and verbal communication skills – clear, concise and organized.
- Ability to work in a team-based environment, proactively covering and sharing task responsibilities with other team members.
- Be self-motivated, show initiative and creativity in all aspects of work (e.g. creating new methods to streamline tasks).
- Work independently with little supervision and knows when to ask for guidance, clarification, assistance.
- Possess a high level of professionalism, confidentiality, discretion and judgment.
- Team player, with strong coaching and listening skills
- Desire/ability to work successfully in a small company environment.