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Attorney - Investment Mgmt- Merrill Edge

Boston, MA, United States

Job number: 1500010392

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Job description

Enterprise Description:

Provides general legal counsel to AMGs investment management business as well as specific advice on products services and certain legal actions. Reviews legal contracts and documents. Directly or through staff conducts legal research. May represent the bank in legal actions. Individuals in this position typically have a minimum of six years of experience since admission to the Bar.

Specific Responsibilities:

-Provide day-to-day legal counsel to Merrill Edge, which provides brokerage services as well as advice and guidance to clients with modest assets not being otherwise served by traditional financial advisers.

- Provide advice, both strategic and legal, to business partners in the product, sales and marketing areas relative to the Edge program - including product formation and maintenance, new product marketing and ongoing advice.

- Serve as a key legal advisor to Edge business leaders on regulatory trends, implementation of new regulatory requirements, and best practices across all investment products and services.

- Advise Edge business on risk governance issues, including escalation of new issues and mitigation of same.

Qualifications

Required Skills:

- Minimum of 5-10 years law firm experience representing broker dealers or other financial services companies in connection with their products and activities; or, 3-5 years relevant experience at a broker-dealer or financial institution.
- JD and at least one state bar admission (active and in good standing)
- Strong substantive background with Securities Exchange Act of 1934 and FINRA Rules required. Working knowledge of Investment Advisers Act of 1940.
- Ability to thrive in a team-oriented workplace. Must be able to collaborate and partner with Risk, Compliance and other peer support areas.
- Ability to establish trust and credibility across the organization as well as with regulators and other key external constituents.
- Impeccable business integrity, based on the highest moral and ethical standards.
- Excellent written, verbal and presentation skills.

Posting Date: 02/27/2015

Location: US-MA-Boston

Travel: Yes, 5 % of the Time

Full / Part-time: Fulltime

Hours Per Week: 40.00

Shift: 1st Shift

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