

The Vice President, Associate Counsel will assist other attorneys in the department, including senior attorneys, the Deputy General Counsel and the General Counsel, with the provision of legal advice in multiple areas of the company's business, but with a focus on the company's brokerage offerings.

This role will report to a Senior Vice President, Associate Counsel within the Legal Department's Corporate group and will support broker-dealer, retirement and new product matters in particular. The role will require frequent interaction with the company's business teams that support the distribution and sale of a wide variety of financial products. Job responsibilities will include assistance with:

- Contractual matters:
  - Work with various business units within the company to negotiate contracts with product sponsors, vendors and other third parties, including distribution agreements, shareholder services agreements, trading agreements and documentation required in connection with the investment of client assets
  - Draft agreements, disclosure documents and other forms for use with retail clients and financial advisors
- Maintenance of LPL's retirement, brokerage and advisory platforms including SMA, UMA and other wrap programs
- Projects related to new business development, including sponsor relations initiatives
- Legal analysis of compliance issues affecting the company as a broker-dealer and registered investment advisor
- Development of compliance policies related to new and changing regulations affecting the company's service offerings

**Requirements:**

- Must have Bachelors Degree, J.D., and be admitted to practice
- Minimum of five years corporate legal experience, preferably in a financial services complex or a law firm working with corporate clients
- Experience as an attorney working with the Securities Exchange Act of 1934, rules and regulations of self-regulatory organizations and basic corporate law principles; experience with Investment Advisers Act of 1940 and ERISA preferred
- Knowledge of multiple products and asset types strongly preferred
- Strong writing and organizational skills
- Should have good interpersonal skills and ability to interact with members of senior management as well as adaptability and willingness to take on a wide variety of new tasks
- Must be willing to travel on occasion as needed