

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

This role will report to a Senior Vice President, Associate Counsel within the Legal Department's Corporate group and will support investment adviser, retirement plan and new product matters in particular. The role will require frequent interaction with the company's business teams that support the recruitment, development and platforms for RIAs, including hybrid advisors who choose to manage advisory assets using their own RIA rather than the company's RIA. Job responsibilities will include assistance with:

- Contractual matters:
 - Work with various business units within the company to draft and negotiate contracts with financial advisors, product sponsors, vendors and other third parties
 - Draft agreements, disclosure documents and other forms for use with retail clients and financial advisors
- Assistance with projects related to new business development, including recruitment, practice acquisition and succession planning
- Legal analysis of compliance and regulatory issues affecting the company as RIA and broker-dealer
- Implementation of new and changing regulations affecting the business of a dual registrant
- Assistance with maintenance of LPL's retirement, brokerage and advisory platforms including SMA, UMA and other wrap programs

Requirements:

- Must have Bachelor's 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 Investment Advisers Act of 1940, ERISA and basic corporate law principles; experience with the Securities Exchange Act of 1934 and the rules and regulations of self-regulatory organizations preferred
- Knowledge of multiple products and asset types strongly preferred
- Strong writing and organizational skills
- Ability to engage in complex legal analyses
- 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 in a fast-paced environment
- Must be willing to travel on occasion as needed