



**Manager, Counsel – Corporate Advisory, Securities & Transactions
Requisition R27399**

Description

CAST (Corporate Advisory, Securities and Transactions) is a group within Capital One's Legal Department that is comprised of a dynamic group of attorneys and legal professionals who provide counsel and support on securities, finance and executive compensation matters. CAST attorneys and legal professionals also provide counsel and support for Capital One's broad range of transactions, including capital markets transactions and strategic investments, mergers & acquisitions, complex procurement and outsourcing contracts, digital and technology transactions, line of business transactions, partnerships, marketing arrangements, and real estate contracts. Attorneys and legal professionals within CAST advise our diversified businesses on a broad range of matters within their areas of responsibility in a dynamic and stimulating environment.

In addition, through its bold initiatives, state of the art infrastructure, breadth of talent, and dynamic work environment, the Legal Department of Capital One is one of the most highly admired corporate legal departments in the country.

This Manager, Counsel will be responsible for assisting with a broad range of public disclosure and executive compensation matters.

Responsibilities

- Overseeing enhancement and implementation of effective processes to ensure compliance with policies and procedures relating to CAST activities
- Managing the development and filing of the annual proxy statement and ensuring compliance with controls and procedures applicable to the proxy and related disclosures
- Managing compliance programs for Section 16 filings, insider trading and other matters related to equity administration
- Overseeing third-party management requirements relating to vendors engaged by CAST
- Supporting effectiveness of repeatable and controlled processes relating to transactional work managed by CAST
- The ability to manage multiple projects, take on new responsibilities and handle novel issues is critical

Basic Qualifications:

- Juris Doctorate (J.D.) with admission to at least one state bar
- At least three (3) years of law firm or in-house legal department work experience, with primary focus on securities law matters and public disclosures

Preferred Qualifications:

- At least 4 years of experience as an attorney in a major law firm and/or in-house legal or compliance department, with a focus on broad range of SEC filings (including 10-Ks, 10-Qs, 8-Ks and proxy statements), Section 16 filings, press releases and other public disclosures and other matters relating to disclosure, executive compensation and equity administration
- Experience drafting and filing SEC disclosure documents
- Experience designing and implementing controls and procedures relating to SEC filings and/or public disclosures.
- Familiarity with commercial transactions
- The ability to manage multiple projects, take on new responsibilities and handle novel issues

- Ability to work in a fast-paced environment with minimal supervision
- Excellent analytical, oral and written communication skills
- Strong organizational skills with impeccable attention to detail
- Ability and willingness to work as a team player, with comfort interacting with associates across departments and job levels
- Ability to work cooperatively with internal constituents to manage efficient processes and to get issues resolved across organizational boundaries

At this time, Capital One will not sponsor a new applicant for employment authorization for this position.