

STAFF OPENING

Position Title: Attorney - Securities Regulation
Department: Law
Reports to: Deputy General Counsel – Securities Regulation

As the leading global association of mutual funds, ETFs, and other regulated funds, the Investment Company Institute encourages adherence to high ethical standards, promotes public understanding, and works to advance the interests of funds, their shareholders, directors, and advisers. We currently have an attorney position available in our Law department.

As a member of the Law department staff, this position supports the Deputy General Counsel – Securities Regulation in all matters. This includes advising and representing the Institute and the investment company industry on securities and financial services issues and policy initiatives, including relevant legislation and regulations. The incumbent also helps to coordinate and integrate the Department's efforts with the Institute's research, government affairs, operations and public communications functions in support of Institute positions and initiatives.

Additionally, the incumbent represents and advises the Institute on securities and financial services matters before the Securities and Exchange Commission, Financial Industry Regulatory Authority, other self-regulatory agencies, the Commodity Futures Trading Commission, banking regulators and, as appropriate, the states and the Congress.

Essential functions of this role include:

- Supports the Deputy General Counsel – Securities Regulation on securities and financial services matters involving the SEC, FINRA, other self-regulatory agencies, the CFTC, banking regulators and, as appropriate, the states and the Congress.
- Advocates Institute positions before regulatory agencies and Congress through written testimony, comment letters and oral presentations.
- May lead initiatives in areas of industry importance or emerging interest, such as responding to SEC proposals affecting registered investment companies, state actions regarding regulation of activities of investment advisers and broker dealers, new derivatives regulation, enhancements to the fixed income markets, and other matters that may arise from time to time.
- Identifies and implements initiatives (i) to assist members in regulatory compliance efforts and (ii) to identify and address areas of potential risk management concern for ICI and its members.
- May serve as the Institute's liaison with relevant professional organizations.
- Communicates and collaborates regularly and effectively with other Institute staff.
- Coordinates with the Research staff on data and other empirical analyses relevant to fund products and services and securities and financial services regulations.

- Assists the Public Communications staff in understanding key securities and financial services issues, in developing strategic communications and assuring the accuracy of public communications, including press releases and other public statements.
- Supports the efforts of the Independent Directors Council in meeting its mission and objectives.
- Coordinates with the Government Affairs staff to analyze, comment on and develop legislative proposals relating to securities and financial services policy issues.
- Coordinates with Operations Department staff when regulatory or legislative proposals may place operational burdens on the fund industry.
- Coordinates with ICI Global on regulatory and legislative matters in areas of expertise and other matters that arise from time to time.
- Helps prepare or may be responsible for preparation of agendas and overall responsibility for member committees; participates, as appropriate, in other member committee, subcommittee and ad hoc committee meetings.
- Communicates significant industry developments to members and others through memoranda, other documents and teleconferences.
- Assists in development of Institute conferences, webinars and workshops, serving as moderator when appropriate.
- May oversee work performed by and costs incurred in connection with outside legal counsel retained on securities matters.
- Will oversee tasks assigned to administrative support staff.

If you have the following credentials, we encourage you to apply:

- J.D. degree and member of a state (or DC) Bar with an excellent academic record and achievement.
- Minimum 4 years relevant legal experience in government, trade associations, or in house or external counsel.
- Solid knowledge of federal securities laws and regulations, including the Investment Company Act of 1940, the Investment Advisers Act of 1940, the Securities Act of 1933, the Securities Exchange Act of 1934 and applicable FINRA rules, as well as other financial services laws and regulations affecting investment companies. Familiarity with the Commodity Exchange Act and/or banking regulation a plus.
- Understanding of the operations of investment companies and their service providers, including those of mutual funds, closed-end funds and ETFs, knowledge of BDCs, UITs, and variable products is a plus.
- Understanding of government and regulatory environment and processes.
- High capacity for critical legal and factual analysis (knowledge of relevant laws, grasp of business and other issues, soundness, thoroughness, marshalling of information, organization of data).
- Strong ability to communicate effectively in writing and orally.
- Sound problem-solving ability and judgment.
- Ability to advocate positions, obtain consensus, and influence outcomes as appropriate.
- High degree of productivity, responsiveness, initiative, and flexibility.
- High degree of innovativeness, creativity, and strategic thinking.

- Ability to plan/prioritize; excellent project management skills.
- Ability to work effectively and collaboratively with Institute members, government personnel, outside counsel, media and other Institute staff.

ICI offers competitive pay, excellent benefits to include a comprehensive medical plan, generous 401(k) retirement savings plan, paid leave, commuting subsidies, and tuition reimbursement as well as training and development opportunities. Based in Washington, DC, ICI is conveniently located next to McPherson Square Metro station.

To be considered for the position, email your cover letter and resume to employment@ici.org

ICI is an Equal Opportunity Employer that values diversity and inclusion in the workplace.