



CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS, INC.

Assistant General Counsel - Standards

Certified Financial Planner Board of Standards (“CFP Board”) – headquartered in Washington, D.C. – is the certifying body for financial planning professionals. It is a non-profit organization that fosters professional standards in personal financial planning through its setting and enforcement of the education, examination, experience, ethics, and other requirements for the CFP® certification.

CFP Board seeks a highly motivated Assistant General Counsel-Standards to lead the development of standards and guidance materials concerning CFP Board’s *Code of Ethics and Standards of Conduct*. Provides *ad hoc* assistance with the adjudication of alleged violations of the *Code and Standards* and general legal matters. The ideal candidate will embrace open collaboration, possess intellectual curiosity, and help the organization deliver results towards fulfilling our mission.

Essential Functions

- Assists the General Counsel with the development of standards, including CFP Board’s *Code of Ethics and Standards of Conduct*, *Sanctions Guidelines*, *Fitness Standards*, and *Procedural Rules*
- Assists the General Counsel with the development of guidance materials concerning CFP Board’s *Code of Ethics and Standards of Conduct*, including formal guidance materials and responses to individual requests for guidance submitted via email
- Works with councils, commissions, and working groups charged with the responsibility of assisting with the development of, and feedback concerning, CFP Board’s standards and guidance materials
- Develops extensive background memoranda, agendas, minutes, and other materials for council and commission meetings
- Provides occasional assistance with the adjudication of alleged violations of the *Code and Standards*, including issuing relevant notices and materials, developing advice to hearing panels and to the Disciplinary and Ethics Commission (DEC), and drafting press releases and Case Histories (ACH)
- Collaborates with CFP Board’s Continuing Education department to review ethics CE materials for alignment with the *Code and Standards*
- Provides legal research and writing support for issues pertaining to federal and state regulation of broker-dealers, registered investment advisers, insurance agents and other financial professionals
- Provides occasional assistance with corporate governance matters, Board of Directors meeting materials, and the review of contracts
- Recommends procedures and policies that will improve upon the efficiency of the department
- Performs other duties as assigned

Background/Skills/Abilities Preferred

- J.D. (Juris Doctorate) degree from an accredited law school
- Active status licensed attorney in any state or District of Columbia; eligible to be admitted in D.C.
- Eight+ years of legal practice experience at a financial services regulatory, large law firm, or in-house legal or compliance department, preferably in the financial services field, with demonstrated legal research, analytical, critical thinking, writing and communication skills
- A working knowledge of broker-dealer, investment adviser and insurance regulations preferred
- Exemplary written and oral communications skills, including the ability to summarize issues and the means to address them
- Demonstrated commitment to collaboration with volunteers and across organizational functions.
- Outstanding attention to detail, multi-tasking, time management, and organizational skills with ability to quickly prioritize and meet critical deadlines
- Strong customer service focus and ability to effectively communicate
- Self-starter with strong motivation and sense of ownership
- Ability to quickly prioritize and meet critical and sometimes competing deadlines
- Ability to exercise discretion in handling confidential and sensitive matters
- Proficiency with Microsoft Office

To apply, send your resume and one-page letter summarizing your interest, qualifications, and salary expectations. Please reference the Assistant General Counsel - Standards position in your cover letter. Email your application to humanresources@cfpboard.org, Attention: Director, Human Resources, CFP Board, 1425 K Street NW, Suite 800, Washington, DC 20005.

CFP Board believes that diversity of experience and perspective are strengths and seeks to continue to grow a highly committed, skilled, and collaborative staff.