

Global Financial Private Capital

General Counsel

Position Description

Global Financial Private Capital (Global Financial) is currently seeking a General Counsel to be based in Denver, Colorado or Sarasota, Florida. Global Financial is an SEC Registered Investment Advisor with approximately \$5B in AUM. This position serves as primary in-house counsel providing guidance on all legal matters including, but not limited to, SEC compliance and regulatory risk matters, transactions and corporate governance and policies. Reporting to the Chief Executive Officer, the General Counsel will provide leadership on legal and regulatory issues impacting business operations and strategies. The General Counsel provides senior management with effective advice on company strategies and their implementation, manages the legal function, and obtains and oversees the work of outside counsel. They are directly involved in business transactions and negotiating critical contracts.

The successful candidate will work on a variety of Firm wide legal matters, with a focus on supporting litigation, investigations and related matters but also including general regulatory and corporate matters. This position will require substantial interaction internally and externally with senior business leaders and candidates should be comfortable in those settings.

Essential Job Functions for the General Counsel will include:

- Serving as legal and compliance subject matter expert and counselor on all regulatory issues;
- Researching, drafting, negotiating and advising relative to contracts and related transactions;
- Providing guidance on all issues related to SEC and FINRA rules and regulations including the Investment Advisors Act of 1940 as well as other regulations and securities laws;
- Communicating with financial regulators with respect to regulatory and legal matters.
- Advising on mergers and acquisitions and general corporate governance matters;
- Partnering with stakeholders to manage and design policies and procedures as well as compliance controls and oversight efforts;
- Maintaining a current working knowledge of new laws and regulatory developments;
- Recognized as an expert within the company, anticipates business and/or regulatory issues; identifies requirements for product, process or service improvements;
- Anticipates internal and external business challenges and/or regulatory issues; recommends process, product or service improvements;
- Solves unique and complex problems; requires conceptual and innovative thinking to develop solutions;

- Adapts function/business strategy plans and policies to address service and/or operational challenges;
- Communicates complex ideas; persuades and negotiates with others, often at senior levels, to adopt a different point of view;
- Responsible for the delivery of end results focused on operational excellence;
- Flexibility and adaptability to changing priorities and deadlines
- Makes decisions guided by function/business plans and policies that impacts the operations of a sub-function or work area within a sub-function; and
- Performing other duties as assigned.

Qualifications

Juris Doctor (J.D.)

Qualified to practice law where based as in-house counsel; member of the Bar in good standing.

At least 10 years of experience at a law firm or in-house legal department in a senior legal or compliance role. Experience in a securities regulatory authority is preferred.

In depth knowledge and experience, or ability to quickly gain requisite knowledge, of SEC laws, industry practice, policies and other regulatory requirements relating to investment advisors, including the Investment Advisers Act of 1940

Ability to work effectively with teams and independently, as well as manage and prioritize multiple projects

Excellent communication, analytical and organizational skills

Work Schedule: Daytime and evening hours as needed.

Global Financial Private Capital, LLC is an Affirmative Action/ Equal Opportunity Employer/Vet/Disability.