



## **SENIOR COUNSEL-FINANCIAL SALES & DISTRIBUTION**

The Senior Counsel is part of the Nationwide Financial Sales and Distribution Legal team. The position is primarily responsible for providing legal support to Nationwide Financial Network (NFN) specific to Affiliated Sales. The Senior Counsel will also directly and indirectly support Nationwide Financial's Third Party Sales channel. This position is based in Columbus, OH.

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**JOB SUMMARY:** Provides primary legal support to Affiliated Sales, including two standalone Nationwide legal entities: Nationwide Securities, LLC, a registered retail broker-dealer, and Nationwide Financial General Agency, an insurance general agency. Provides ancillary support to various unaffiliated distribution platforms, including broker-dealers (BDs), insurance marketing organizations (IMOs), brokerage general agents (BGAs), and registered investment advisors (RIAs). Works on basic issues and/or projects without supervision. Works on more complex issues and/or projects with minimal supervision. Supports assistant general counsel with legal questions or issues. Focuses on client relationships and legal matters. Exercises judgment in matters which have potential for a significant impact on the company.

**Reporting Relationships:** Reports to Managing Counsel

### **Core Duties and Responsibilities:**

1. Works on legal matters that are moderately important, risky or complicated.
2. Identifies and interprets applicable laws, rules and regulations, including the 1934 Securities Exchange Act, 1940 Investment Adviser's Act, FINRA Rules, MSRB Rules, Department of Labor Rules and Regulations and various state insurance and securities laws.
3. Defines legal and factual issues, drafts and/or reviews necessary legal documents, and develops conclusions and recommendations.
4. Performs legal services including advising on regulatory issues, agent sales practices, and policies and procedures; creating and/or reviewing contractual agreements and business forms; and, identifying and interpreting new and proposed laws, rules and regulations.
5. Usually deals with non-management associates and lower to middle management of the Department or the Company on legal matters relating to financial services sales and distribution. Has virtually no input into Company decision-making.
6. Requires moderate supervision and/or coaching from manager on legal work or client interaction. Has little interaction with persons outside of the Company.
7. Typically receives matters from a Managing Counsel or non-management associates and lower to middle management of the Company.



8. Keeps informed of new and proposed laws, rules and regulations pertaining to financial services sales and distribution, and informs manager.
9. May train or mentor less experienced attorneys or paralegals on procedural or legal issues.

#### **MINIMUM JOB REQUIREMENTS:**

**Education:** JD degree from an accredited law school.

**License/Certificate/Designation:** Currently licensed as an attorney in an appropriate U.S. jurisdiction.

**Experience:** Typically has four or more years of relevant legal experience. Financial services experience a plus.

**Knowledge:** Has a moderate amount of experience in an area of legal expertise. Knowledge of legal practices and procedures. Project management concepts and techniques.

**Skills/ Competencies:** Oral and written communication skills for contacts with all levels of management and clients. Analytical ability to interpret statutes, regulations, insurance policies and other contracts. Has limited decision-making ability. Ability to organize and coordinate projects and cases. Negotiation skills.

#### **JOB CONDITIONS:**

Working Conditions: Normal office environment. Occasional travel.

ADA: The above statements cover what are generally believed to be principal and essential functions of this job. Specific circumstances may allow or require some associates assigned to the job to perform a somewhat different combination of duties.

Credit Check: Due to the fiduciary accountabilities of this job, a valid credit check and/or background which will be required as part of the selection process.

**FOR MORE INFORMATION OR TO BE CONSIDERED GO TO OUR WEBSITE**

**[WWW.NATIONWIDE.COM/CAREERS](http://WWW.NATIONWIDE.COM/CAREERS). APPLY TO JOB ID # 48475.**