



**Position Title:** Junior Attorney

**Department:** Legal

**Date:** September 2025

**Status:** Full Time, Exempt

**Job Summary:**

We are seeking a highly motivated Junior Attorney to join our Legal team. The successful candidate will support the General Counsel and legal department in a wide range of responsibilities, including legal research, drafting, vendor management, and other special projects. This role requires strong analytical skills, attention to detail, and the ability to work collaboratively across the organization.

**Position Duties:**

- Conduct legal research on Securities Exchange Commission (SEC) and Self-Regulatory Organization (SRO) rules and guidance.
- Draft, review, and edit rule filings.
- Prepare clear and concise legal memorandums for internal and external stakeholders.
- Support and play an active role in the Vendor Management Program, including:
  - Reviewing contracts and other agreements.
  - Monitoring vendor performance and compliance.
  - Assisting with vendor risk assessments.
- Provide administrative support as needed and handle special projects assigned by the General Counsel.
- Collaborate with internal departments to ensure compliance and risk mitigation.

**Job Knowledge and Skills:**

- High level of accuracy and attention to detail.
- Proficiency with PC-based software (Word, Excel, PowerPoint, Adobe Acrobat).
- Exceptional oral and written communication skills.
- Ability to manage multiple assignments, prioritize effectively, and meet deadlines in a fast-paced environment.
- Strong negotiation and presentation skills.
- Ability to maintain confidentiality and exercise diplomacy and tact.
- Solid understanding of legal procedures and advanced legal research skills.

**Education and Experience:**

JD degree required must be admitted to the bar or awaiting results.

A minimum of 2 years practical experience in a brokerage firm, SEC, FINRA, and/or law firm along with knowledge of the 1933 Securities Act and 1934 Securities Act preferred.