

LEGAL & COMPLIANCE SPECIALIST

OVERVIEW

With moderate supervision, provides legal and compliance support to the iA American and American-Amicable Group of Companies Legal and Compliance Department.

ESSENTIAL DUTIES

Legal Support – 40%

- Handles a variety of legal research. Prepares drafts of certain basic legal and corporate documents and correspondence, as well as certificates of incumbency, releases, resolutions, and affidavits, among others.
- Utilizes various legal research tools, including secretary of state department websites, the NAIC website, state insurance department websites, federal agency websites, insurance industry websites such as ACLI and CEFLI, NILS InSource, and other legal and industry resources and publications.
- Prepares draft responses to subpoena, discovery, and other regulatory requests for records, coordinating the collection of documents and responses with the assistance of other departments, and preparing final file for response to requestor. Maintain internal database records for subpoena and discovery records, internal legal request records, and litigation records.
- Assists with management of the legal service request site by reviewing, researching, and providing analysis and recommendations of issues, and assigning requests as necessary.
- Prepares required reports and filings, including those involving state insurance departments, corporate regulators, and other governmental agencies.

Compliance Support – 25%

- Reviews, summarizes, and monitors regulatory and industry issues, such as changes to insurance laws, regulations, corporate governance and organization laws and issues, corporate filing requirements, product structures, advertising and marketing regulations, and claim processing requirements, with supervision from a more senior staff member.
- Assists with drafting annual and periodic regulatory filings, including fraud reports, TPA reports, and other various reports.
- Contributes to maintenance of the Department calendar reflecting the timing and tracking of all such reports and filings.
- Assists in the collection and organization of materials in response to external and internal audit examinations.
- Coordinates review and approval of advertising.

Corporate Governance Support - 25%

- Prepares, with oversight, Board books for the quarterly Board and Audit Committee meetings.
- Assists in the onboarding of new directors and officers, with oversight of Corporate Secretary.
- Drafts and submits holding company filings and other corporate filings as assigned.
- Drafts Audit Committee and Board of Directors meeting agendas.
- Maintains accurate and complete board books.
- Prepares, files, and maintains biographical affidavits and fingerprint cards.
- Assists with maintenance of corporate organizational records.

Miscellaneous – 10%

- May reads, review, and route mail, correspondence, reports, and documents for handling, and prepare outgoing mail via USPS, FedEx, and other services.
- Coordinates events and meetings, as well as logistics involving Company visitors.
- Processes department invoices and expenses for payment.
- Broad responsibility for facilitation of department activities, ranging from corresponding with members of Company management to handling administrative tasks to support other department members.
- Other projects and research as assigned, including support for consumers, regulators, and clients as requested.

EDUCATION, WORK EXPERIENCE AND TRAINING REQUIREMENTS

- At least three years of corporate legal work experience with an in-house legal department or law firm preferred.
- Bachelor's degree preferred. Associate degree and/or relevant work experience, particularly in the insurance industry, will be considered in lieu of Bachelor's degree.
- Familiarity and experience with the laws and regulations of life insurance strongly desired.

KNOWLEDGE, SKILL AND ABILITY REQUIREMENTS

- Experience with legal research and analysis.
- Excellent written and verbal communication skills.
- Strong technical skills, including:
 - a. Microsoft Office, especially Word, Excel, Access, PowerPoint, and strong understanding of basic MS Windows functionality.
 - b. Westlaw, LexisNexis, Diligent, and other internet-based research resources.
 - c. Ability to learn other software systems quickly and effectively.
- Strong attention to detail.
- Ability to analyze, think critically and solve problems.
- Ability to perform under pressure and manage multiple projects with moderate supervision.
- Ability to keep work well organized and prioritize well to meet deadlines.
- Excellent record-keeping skills.
- Ability to take initiative and responsibility for assigned work.
- Ability to receive direction and work with supervisors well.
- Ability to work independently as well as function effectively as a team player.
- Ability to adapt well to change, both procedural and organizational.
- A positive, learning-oriented attitude.
- Ability to maintain strict confidentiality is critical.
- If business needs demand, must be able to work overtime.

WORKING CONDITION, PHYSICAL AND MENTAL REQUIREMENTS

Work is sedentary in nature and is performed in a traditional office environment with cubicles. Typically, the incumbent will sit comfortably while performing the work, with some walking, standing, bending and carrying of light items, such as papers, books, and files. Other physical demands in performing the essential functions of this position include: digital dexterity, hearing, seeing, and talking. Mental requirements include, but are not limited to, the ability to concentrate, take initiative, cope with stress, adapt, and stay alert in a business environment.

IMPORTANT NOTE

This job description reflects a summary of the job and does not prescribe or restrict the responsibilities that may be assigned. This job description is subject to change at any time.