

# Robert Smith

## Corporate Counsel/Executive

### PERSONAL STATEMENT

Skilled legal and compliance professional in the securities industry. Key member of high-performing management teams, responsible for legal affairs and interactions with government regulatory agencies.

### WORK EXPERIENCE

#### **Corporate Counsel/Executive**

**RIDGEWAY & CONGER - October 2014 - 2019**

##### *Responsibilities:*

- Provide representation for the Firm, its Advisory, and two affiliated broker-dealers.
- Advise management of risks and liabilities associated with pending legal and regulatory matters.
- Litigate claims before FINRA arbitration panels and multi-party collateralized settlement agreements.
- Implement policies and procedures to ensure compliance with SEC and FINRA rules and regulations.
- Collaborate with compliance officers and management on potential mergers, acquisitions, and sales.
- Engage in settlement negotiations with State and Federal regulators.
- Draft legal correspondence, including answers, motions to dismiss, motions for sanctions, SEC audit responses, FINRA 8210 responses.

#### **Corporate Counsel**

**ABC Corporation - 2012 - 2014**

##### *Responsibilities:*

- Draft, analyze and negotiate a wide variety of commercial agreements relating to sales, procurement, confidentiality, equity or asset acquisitions, real estate, and employment.
- Provide general legal support to senior management teams (Finance, Sales, Operations, and Information Technology) in connection with risk assessment, business transactions, and legal implications of business and operational decisions.
- Manage corporate and subsidiary governance globally.
- Manage global insurance coverage strategy and operational relationship with insurance carriers/broker, including insurance renewal and claims management.
- Perform due diligence in preparation for acquisitions, joint ventures, and sales of real estate.
- Manage outside law firms and litigation matters.
- Manage global trademark portfolio and intellectual property strategy..

### Education

Juris Doctor - (SYRACUSE UNIVERSITY COLLEGE OF LAW - Syracuse, NY)

### **CONTACT DETAILS**

1737 Marshville Road,  
Alabama  
(123)-456-7899  
info@qwikresume.com  
[www.qwikresume.com](http://www.qwikresume.com)

### **SKILLS**

Legal Research,  
Regulatory Compliance,  
Analytics.

### **LANGUAGES**

English (Native)  
French (Professional)  
Spanish (Professional)

### **INTERESTS**

Climbing  
Snowboarding  
Cooking  
Reading

### **REFERENCES**

Reference - 1 (Company Name)  
Reference - 2 (Company Name)

