

Job Title: In House Legal Counsel  
Salary: Band TBC  
Regulatory Status: Certified  
Direct Reports: N  
Hours of work: Monday to Friday 9:00am – 5:00pm (35 hours)  
Location: Head Office, Bolton  
Holiday entitlement: 25 days annual leave plus public holidays  
Other entitlements: See benefits list and group information document

## Role Purpose

- To assist the Head of Legal in managing all legal and regulatory matters affecting the Group.
- To advise senior management and the Board of Directors on legal matters as required.
- To assist in the production and negotiation of relevant legal documentation with clients and suppliers.
- To instruct and liaise with preferred external legal suppliers as necessary.
- To ensure legal compliance and limit risk exposure for the Group.

## Key Responsibilities

### Fund establishment and documentation

- Advise the Group on the laws, rules and regulations relevant to the Group's activities in the financial services sector.
- Actively manage the instruction of external lawyers in order to obtain technical legal advice whilst controlling legal costs.
- Assist in the successful transition of new business.
- Manage company legal affairs and documentation.
- Undertake appropriate training in order to develop a working knowledge of regulatory areas which include: the FCA Rules; UCITS V; MIFID II; AIFMD; and SM&CR.
- Act as a central point of contact from the FCA in relation to fund applications.

### Corporate and Commercial

- Assist in relation to any filings required for companies within the Group.
- Take an active role in relation to company acquisitions and the subsequent integration of those acquisitions into the Group.
- Understand the wider regulatory framework within which the Group operates, providing ongoing advice on areas such as the Group's compliance with GDPR.
- Own the production, delivery and subsequent negotiation of any contractual documentation required by the Group.
- Proactively manage negotiations with the legal departments of clients and suppliers.
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- Ongoing monitoring of contracts in order to ensure ongoing compliance with agreed terms.

### Relationship and Service Management

- Liaise and assist Compliance & Risk/Finance departments in documentation review, communication with shareholders, meetings and filing of statutory documentation with appropriate authorities.
- Procure and manage external legal services costs effectively with a view to obtaining responsive, cost-effective and actionable legal advice.
- Assist in managing relationships with the relevant departments of key stakeholders, such as banks and fund service providers.

## Governance and Regulatory Change

- Assist the Compliance & Risk team to identify and analyse information regarding governance and regulatory change initiatives.
- Advise and assist IFSL/MFM in the implementation of governance and regulatory change initiatives.

## Additional responsibilities

- Complete any other appropriate ad-hoc tasks as directed by the Head of Legal.

## Principal Contacts:

### Internal:

- Board Members
- Senior Management
- Compliance & Risk Team
- Finance Team

- Operations Team
- Sales & Marketing Team
- Relationship Team

### External:

- Clients and third party providers
- Legal Representatives
- Banks

## Standards

- The post holder is required to comply with the legal and regulatory regime in which the business operates as appropriate to the above role.
- The post holder is expected to exercise due care and diligence.
- The post holder is required to observe proper standards of market, business and personal conduct, demonstrating integrity in the execution of duties. Friendly and approachable, with an ability to build relationships and work with the wider organisation
- Good attention to detail
- Positive attitude
- Efficient
- Self-motivated
- Proactive in identifying and seeking to mitigate legal risks
- Confident communication skills and able to provide digestible and actionable advice
- Ability to work flexibly and learn quickly
- Ability to make a positive contribution to both the team and the Company
- Ability to work calmly under pressure, whilst maintaining an ability to think through problems and make thorough assessments of different courses of action

	Essential	Beneficial
Skills and standards	<ul style="list-style-type: none"> <li>• Ability to manage multiple projects in a proactive manner.</li> <li>• Strong numeric and excellent written and verbal communication skills.</li> <li>• Strong business analytical skills.</li> <li>• Ability to problem solve and deal with complex queries.</li> <li>• Ability to use initiative and work unsupervised in a proactive manner.</li> <li>• Ability to prioritise tasks in accordance with the needs of the business.</li> <li>• Attention to detail.</li> <li>• Working knowledge of Microsoft Excel, PC literacy and internet skills.</li> <li>•</li> </ul>	
Qualifications	<ul style="list-style-type: none"> <li>• Qualified to Degree Level.</li> <li>• Qualified solicitor or barrister with a valid practicing certificate</li> </ul>	
Experience	<ul style="list-style-type: none"> <li>• Knowledge of FCA Handbook and regulatory environment an advantage.</li> <li>• Between one and five years post-qualification legal experience in private practice or in-house.</li> <li>• All round knowledge of corporate and commercial law.</li> <li>• First class client service and very high relationship management skills.</li> <li>• Previous experience in a similar role within the financial services industry would be advantageous but is not an essential requirement.</li> <li>•</li> </ul>	
Personal Qualities	<ul style="list-style-type: none"> <li>• The willingness and ability to contribute to the Group's key cultural values.</li> <li>• Comfortable communicating with stakeholders at all levels, both internally and externally.</li> <li>• Ability to function as part of a team.</li> <li>• Ability to work under pressure to meet deadlines.</li> <li>• Positive attitude.</li> <li>• Ability to be flexible and learn quickly.</li> <li>• Ability to make a positive contribution to both the team and the Company.</li> </ul>	

In agreeing to this job description, the incumbent accepts the description of reporting lines, status, role, responsibilities and associated accountabilities. As these details may change throughout the year minor adjustments do not require a new job description to be completed.

Job descriptions should be reviewed annually as part of the PDR process and any updates should be agreed with HR. Material regulatory changes to the above outlined role must be agreed and an updated version of this document should be sent to HR for filing.

Please take time to look at the link below for further details regarding Marlborough Fund Managers Limited.

[www.marlboroughfunds.com](http://www.marlboroughfunds.com)