



Vice President, Compliance and General Counsel

Job Summary

The Vice President, Compliance and General Counsel conducts legal activities of the Company including the development and execution of compliance policies. In addition, this position counsels management on the legal implications of all company activities, provides legal services as required in judicial proceedings, and keeps abreast of legislative and administrative regulatory developments and problems. This position guides a legal team in providing legal counsel and services on product development, language, and administrative services and also provides oversight to the agent contracting and commissions team. The Vice President, Compliance and General Counsel is a member of the company's executive team and reports directly to the President.

Primary Responsibilities

- As compliance officer, this position has primary responsibility for ensuring the organization's total enterprise is conducted in compliance with ethical business practices, company policies and legal requirements.
- Keeps abreast of and ensures adherence to internal and federal and state regulatory legal and compliance policies and procedures.
- Develops and implements company policies and procedures intended to prevent unethical and illegal conduct.
- Monitors and reviews activities of business units to ensure compliance with company policies. Prepares documentation for regulating agencies.
- With regard to product matters, provides counsel on: feasibility of offering desired products, product design features, compliance issues including those related to e-commerce, contract language and provisions and questions regarding product issuer.
- With regard to administrative services, provides counsel on: reserve, valuation and surplus, underwriting guidelines and procedures, form of applications, wording of contracts and forms, assistance in achieving compliance with laws and regulations, payments of controversial or disputed claims, questions pertaining to ownership, beneficiary, surrenders and premiums.
- Obtains the services of outside counsel as required to complement available internal legal resources.
- Conduct or oversee legal research to better guide internal management in making timely decisions relative to product, e-commerce, and other matters.



Primary Responsibilities Cont.

- Assist in supervising, monitoring and evaluating the performance of department attorneys and support staff; recommends and implements personnel actions such as realignments, promotions and dismissals as needed, in conjunction with human resources
- Guides department attorneys in their roles as members of internal Product Committees responsible for providing legal and compliance related leadership.

Requirements

- Bachelor degree and Juris Doctorate required. Must have active Bar License in Illinois.
- Minimum 10 years of legal work experience required
 - Minimum 5 years of work experience in insurance company legal and compliance management required
 - Minimum 5 years of management level work experience within the insurance industry required
- Strong working knowledge of insurance legal and compliance matters required, e-commerce experience a plus
- Superior written and verbal communication skills
- Strong decision-making skills, ability to exercise independent judgment
- High degree of accuracy and attention to detail
- Ability to establish credibility throughout the organization as an effective problem solver and trusted advisor; proven ability to develop and propose solutions to complex business challenges
- Ability to perform well under pressure of multiple deadlines and environments
- Hands-on experience with dynamic legal and compliance situations
- Operationally oriented, with the ability to appreciate and identify with operating executives and the issues and opportunities of the business
- Highest standards of integrity, loyalty, honesty, moral and ethical values
- Strategic thinker with the ability to plan, organize and manage for organic growth and change
- Ability to present complex information in a way that enables business leaders to make informed decisions
- Able to travel
- Strong Microsoft Office skills

**College or university must be sufficiently accredited and listed in the U.S. Department of Education Accreditation Directory.*

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