



**Title:** Senior Legal Consultant  
**Classification:** Full-time exempt  
**Department:** Legal Consulting

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**Objective:** FP Transitions is seeking an experienced Senior Legal Consultant to serve as a consultative guide to our clients who are business owners in the financial services industry. This role combines deep legal expertise with business acumen to help clients navigate complex and bespoke fact patterns involving entity structure, ownership, and strategic transactions.

As a Senior Legal Consultant, you will manage your own client caseload, provide tailored legal and strategic guidance, and collaborate across disciplines with our internal consultants and clients' external advisors (including CPAs, attorneys, and financial professionals).

**FP Transitions Introduction:** At FP Transitions, our team helps wealth advisory firms identify, build, and realize value. We value innovation, collaboration, client-centricity, and objectivity. We are entrusted with mission-critical moments and drive transformational business decisions.

**Essential Functions:**

**Client Consulting & Legal Strategy:**

- Lead sophisticated client engagements related to business structure, entity formation, ownership, and transition planning.
- Serve as a trusted advisor, translating complex legal concepts into actionable business solutions.
- Collaborate with clients' external counsel and accountants to ensure cohesive legal, financial, and tax outcomes.
- Identify and address legal and operational risks in client engagements, transactions, and internal processes. Proactively develop solutions to address potential issues before they impact deal execution or client outcomes.

**Internal and External Transaction Support:**

- Provide guidance throughout the deal lifecycle, including due diligence, document preparation, and risk mitigation.
- Advise on all stages of mergers, acquisitions, and internal succession transactions.
- Draft and review key documents including operating agreements, purchase agreements, and shareholder/partnership governance materials

**Cross-Functional Collaboration**

- Partner closely with FP Transitions' internal consultants, including M&A, valuation, and financial analysts, to deliver coordinated client solutions.
- Serve as a subject matter expert on business law, taxation, and regulatory issues impacting advisory firms.



**Case Management:**

- Independently manage multiple legal projects and transactional support efforts. Coordinate with cross-functional teams to meet deadlines and deliverables with precision and quality.
- Build and sustain strong relationships with clients, including financial advisors, firm leadership, and other key stakeholders. Provide operational and strategic support to enhance client experience and ensure smooth transaction processes.

**Thought Leadership & Industry Insight:**

- Stay current on tax, business, and securities law developments impacting the financial services industry. Share insights with clients to help them remain competitive and compliant.
- Contribute to thought leadership initiatives, internal education, and client resources to enhance FP Transitions' legal consulting practice.

**Education and Experience:****Required:**

- JD; active bar membership preferred.
- 7+ years of experience in business law or legal consulting.
- 5+ years of experience in business law, entity formation, business structure, mergers and acquisitions, and board level legal guidance.
- Demonstrated expertise in:
  - Entity formation and business structuring
  - Mergers, acquisitions, and business transactions
  - Corporate governance and finance
  - Tax implications of business structures and transactions
- Proven ability to manage a client portfolio and complex engagements with minimal oversight.
- Exceptional communication, analytical, and problem-solving skills.

**Preferred:**

- Experience in the financial services industry.
- Knowledge of SEC and state compliance for registered investment advisers (RIAs).
- LLM. in Taxation, Business, or Securities Law.
- Familiarity with securities regulation, compliance frameworks, and private company transactions.

**Compensation and Benefits:**

- \$130,000-\$175,000 per year DOE.
- Medical, Vision, Dental, 401k with 25% employer match.
- Company lunches, snacks, and team-building events.
- Company holidays (including employee's birthday) and accrued PTO.



**Physical factors & working conditions:**

- Professional office environment, hybrid remote possible with manager's approval; minimal travel required.

