



Burford Capital Limited
Legal and Compliance Analyst
Chicago or New York City

Burford Capital is the leading global finance and asset management firm focused on law. Its businesses include [litigation finance](#) and [risk management](#), [asset recovery](#) and a wide range of legal finance and advisory activities. Burford is publicly traded on the New York Stock Exchange (NYSE: BUR) and the London Stock Exchange (LSE: BUR), and it works with law firms and clients around the world from its principal offices in New York, London, Chicago, Washington, Singapore and Sydney.

The Firm has created a position for a Legal and Compliance Analyst who will be tasked with executing functions critical to the registered investment adviser compliance program; its US securities law compliance obligations as a result of its recent listing on the NYSE; and the maintenance and support of Burford's dynamic group structure and transactions. This includes, but is not limited to, Code of Ethics administration; new hire compliance onboarding; Business Continuity Plan (BCP) development and testing; assistance with regulatory filings; employee training and other compliance monitoring activities; legal entity management; preparing responses to due diligence/KYC queries from third parties; and other responsibilities supporting the Firm's growing Legal & Compliance team.

The role will be based in Burford's Chicago or NYC office (remote to start).

www.burfordcapital.com

COMPANY OVERVIEW

Burford Capital is the largest and most experienced provider of commercial finance to the legal sector in the world, with a core expertise in identifying and optimizing the value of legal assets for companies and law firms. Since its founding in 2009, Burford has worked with hundreds of law firms and corporations, including 93 of the AmLaw 100 and 89 of the Global 100 largest law firms. Our team has grown from five people at the end of 2009 to over 130 people today, including some 60 lawyers.

Burford possesses the resources and expertise of a large company while retaining the flexibility and creativity of a startup. Team members are smart, creative, collaborative, curious, and confident. Everyone rolls up their sleeves to perform and engage collectively for the overall success of the business. Burford values rigorous thinking, clear communication, and efficient execution.

Burford pays base salaries consistent with the financial services industry and favors incentive compensation to reward performance. Burford provides competitive health care benefits and a 401k matching program. Burford Capital is committed to increasing diversity and maintaining an inclusive workplace culture. We welcome applications from all qualified candidates regardless of their ethnicity, race, gender, religious beliefs, sexual orientation, age, marital status, whether or not they have a disability.

POSITION REQUIREMENTS

Registered Investment Adviser and US Public Company Compliance

- Code of Ethics administration
 - New hire onboarding
 - Manage quarterly and annual certification process
 - Work with brokerage firms to set up and maintain electronic feeds to Burford's compliance system
 - Serve as first point of contact on related employee inquiries and vendor support
- Business Continuity Plan (BCP)
 - Oversee BCP content for all Burford office locations
 - Liaise with Burford IT team to ensure that all system access instructions are up to date
 - Assist with BCP testing
- Marketing review
 - Support Funds IR team when developing new marketing content
 - Initial review of marketing materials for Funds and US public company compliance
 - Manage internal review process and maintain required documentation and records
- Books and records
 - Periodically review and assess files for organization and completeness
 - Assist with document production
- Policies and trainings
 - Assist CCO with development and upkeep of compliance policies
 - Assist CCO with creating and administering various employee trainings
- Regulatory Filings
 - Maintain US regulatory filing calendar
 - Assist team with ongoing SEC and NYSE filing requirements in the US
- Due Diligence
 - Assist with investor due diligence meetings
 - Prepare and update due diligence questionnaires for review
- Internal controls testing and Disclosure Controls
 - Assist with the development and execution of SOX compliance and risk testing
 - Assist with the development and execution of disclosure controls and procedures for SEC filings

General Legal Support

- Support corporate governance activities, including:
 - Prepare and file organization/formation documents for new company subsidiaries
 - Maintain organizational entity charts, updating for new entity formation, restructurings and governance changes
 - Prepare and file other formation-related documentation including IRS applications for employer identification numbers and foreign qualification applications
 - Maintain company database of entities
 - Monitor Burford's portfolio of entities and manage wind-down of entities that are no longer needed
 - Coordinate management of relationships with corporate services providers for non-U.S. entities in various jurisdictions, including tracking services contracts and monitoring fees
- Support financing activities by managing responses to due diligence / KYC inquiries from service providers and counterparties in various jurisdictions, including preparing and gathering all required materials
- Develop a keen understanding of the group's corporate structure, to become a resource to others around the business as we seek to maximize efficiency and tax compliance
- Assist with maintaining vendor management database
- Assist with data classification and review of access controls

SKILLS DESIRED

Qualifications & Experience

- Required:
 - Bachelor's degree
 - 2 – 5 years of experience in compliance, corporate governance and/or paralegal role at a registered investment adviser/broker dealer, commercial law firm, corporate legal department (at public company preferred) and/or financial services regulatory body
- Preferred:
 - Compliance training/certification, paralegal certification or other relevant industry qualification
 - Regulatory compliance experience, preferably with a registered investment adviser
 - Experience in financial services environment
 - Familiarity with Investment Advisers Act of 1940 and/or Investment Company Act of 1940
 - Familiarity with Securities Exchange Act of 1934 and related regulatory compliance

Core Competencies & Skills / Personal Attributes & Fit

- Competencies and Skills
 - Analytical
 - Communication
 - Project management
- Values, personal style and character attributes
 - Role requires a person who is able to work diligently and efficiently
 - Self-sufficient and assertive, the Legal and Compliance Analyst must be able to organize and lead critical functions in a fast-paced environment
 - Takes initiative to follow up with colleagues on requests for information in a timely manner
 - Persistent and agile. Able to plug in to help with a variety of new scenarios
 - Excellent communication and judgment. Able to effectively communicate requests in a thoughtful and concise manner

Other Requirements

- Experience working with ComplySci, Salesforce, and/or iManage a plus
- Must be able and willing to work remotely in accordance with Burford guidelines during pandemic

SUMMARY

The Legal and Compliance Analyst will be a valued operational/shared services leader in either the Chicago or NYC office and will have a seat at the table with the Legal & Compliance team when setting policy and procedures for the firm. Therefore, it is imperative that this individual have a well-informed opinion and critical eye regarding regulatory matters as well as a track record of supporting in-house Legal & Compliance teams in meeting their regulatory obligations.

The Legal and Compliance Analyst will be organized, effective and detail oriented. He/she will possess the gravitas, credentials, and experience to be able to study, diagnose, and prescribe value-add solutions that will positively impact the Legal & Compliance team. Given that Burford's business is located at the unique intersection of finance and law, it is an excellent opportunity for a savvy professional seeking an "outside the box" position to enjoy applying his/her ingenuity and creativity to solving challenges as they arise.