



Burford Capital Limited
Legal and Compliance Analyst
Chicago, IL

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 listing on the NYSE; and the maintenance and support of Burford's dynamic group structure and transactions. This includes, but is not limited to, administration of policies including the Code of Ethics; 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 Legal and Compliance Analyst will be a valued operational/shared services leader in the Chicago 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 trust and exercise his or her own judgment, be professionally discrete, and bring a well-informed opinion and critical eye to regulatory matters as well as a track record of supporting in-house Legal & Compliance teams in meeting their regulatory obligations. The successful candidate will be expected to participate in program development and contribute in a substantive way.

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. The role will be based in Burford's Chicago office.

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 90 of the Global 100 largest law firms. Our team has grown from five people at the end of 2009 to over 140 people today, including over 65 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 and other policy administration
 - New hire onboarding
 - Manage quarterly and annual certification process
 - Assist with preclearance requests and trade alerts
 - 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
 - Project manage annual compliance program review
- Business Continuity Plan (BCP) and Cybersecurity
 - Oversee BCP content and updates 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
 - Assist IT team with periodic benchmarking of cybersecurity standards
- 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 periodic audit of recordkeeping requirements

- 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
 - Project manage Form ADV and Form PF filings
- Due Diligence
 - Assist with investor due diligence meetings
 - Prepare and update due diligence questionnaires for review
 - Assist with RIA vendor due diligence 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, which may include:
 - Coordination of board and board committee meetings and compilation/distribution of meeting materials
 - Preparation and filing of organization/formation documents for new company subsidiaries
 - Updating and maintenance of organizational entity charts
 - Managing wind-down of entities
 - Coordinating management of relationships with corporate services providers 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

The above responsibilities are neither exhaustive nor static. Burford is a growing and dynamic business environment. There will be unanticipated challenges and opportunities that offer an enterprising individual the chance to develop new skills and experience.

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
 - Excellent communication and judgment. Able to effectively communicate requests in a thoughtful and concise manner
 - 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

Other Requirements

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

Notice of Collection of Personal Information:

<https://www.burfordcapital.com/media/3351/notice-of-collection-of-personal-information.pdf>