

DRI CAPITAL INC.
Compliance Director & Legal Counsel
Job Description

COMPANY OVERVIEW

Headquartered in Toronto's financial district, DRI Capital Inc. ("DRI") is a global leader in healthcare investing. It has a team of 35 professionals that work to make a difference in the lives of others through DRI's acquisition, investment and management of biopharmaceutical royalty assets across the globe. For further information, please visit <https://www.dricapital.com/>.

POSITION: Compliance Director & Legal Counsel

LOCATION: Toronto, ON

JOB OVERVIEW

DRI is currently seeking a Compliance Director with 2-5 years of post-call experience to join its team. In this role, the successful candidate is expected to assist primarily in overseeing the regulatory compliance program at DRI. In addition, the Legal Counsel will provide general corporate and securities-related support to the firm. The successful candidate must be able to provide practical, business-oriented advice to clients in an exciting and dynamic industry. This is a unique opportunity for a lawyer with compliance expertise who is eager to expand his/her legal and regulatory skill set within the investment fund industry.

RESPONSIBILITIES

The successful candidate will be responsible to:

- Create and implement compliance policies to reflect new and changing regulations, industry standards as well as corporate developments at DRI
- Monitor and proactively manage the compliance policies at the firm and amend them as necessary
- Develop and implement internal protocols and controls for new compliance initiatives and maintain testing and oversight processes at the firm
- Train employees on DRI's compliance policies and internal protocols
- Advise on securities law and compliance related matters
- Assist with general corporate commercial matters including drafting and reviewing various agreements
- Coordinate directly with internal stakeholders and external service providers on compliance related matters
- Lead and/or take part in special projects, and provide other day-to-day support to the members of the Legal team, as needed

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IDEAL CANDIDATE

The ideal candidate will possess the following:

- Law degree from an accredited law school in Canada, the U.S., or U.K. and called to the bar in Ontario, New York, or London bar
- A minimum of 2 years of experience in a compliance department of an investment fund manager
- Broad general corporate/commercial knowledge
- Specialized knowledge pertaining to investment funds and securities law, gained at a top-tier law firm or in-house department
- Excellent legal and business judgment
- A strong work ethic and commitment to excellence
- Excellent organization, multi-tasking, and team-work skills
- A professional demeanor and ability to build relationships at all levels of the organization
- A self-driven and solution-oriented mindset with the ability to anticipate needs and implement solutions before an issue arises
- Ability to work well in a time-sensitive, entrepreneurial environment

WHAT YOU CAN EXPECT FROM DRI

- Collaborative and friendly team environment
- Opportunities to develop within a growing entrepreneurial company
- Competitive compensation package
- Health and Wellness programs including corporate fitness membership