



## Senior Compliance Analyst

DRI Healthcare (“DRI”), is a pioneer in global pharmaceutical royalty monetization. We accelerate therapeutic innovation by providing capital to inventors, academic institutions and biopharma companies. We provide uniquely favorable exposure for investors through a diversified, risk-mitigated portfolio of therapeutic assets that aims to generate attractive returns and significant growth potential. We focus on medicines that matter – pursuing deals for medicines that have a demonstrable positive impact on the world, aiming to acquire dependable, patent-protected cash flow streams derived from the sales of those important drugs. Since our founding in 1989, DRI has deployed more than \$2.5 billion, acquiring more than 70 royalties on 40-plus drugs, including Eylea, Spinraza, Zytiga, Remicade, Keytruda and Stelara. DRI Healthcare Trust’s units are listed and trade on the Toronto Stock Exchange. To learn more, visit [DRIHealthcare.com](http://DRIHealthcare.com) or follow us on [LinkedIn](#).

### Position Overview:

The **Senior Compliance Analyst** will provide support to the Legal and Compliance functions in the administration of the firm’s policy and procedures. This position is located in our Toronto office.

### Key Duties and Responsibilities:

- Overseeing internal compliance platform platform, including:
  - Reviewing employee brokerage statements;
  - Reviewing new hire documentation;
  - Coordinating new hire training;
  - Acting as first point of contact for employee questions regarding compliance platform;
  - Pre-clearing trades;
  - Monitoring blackout periods;
  - Maintaining firm’s restricted list;
  - Monitoring Gifts & Entertainment policy;
  - Monitoring Outside Business Activity policy;
  - Monitoring off-channel communications;
- Establishing a compliance calendar for department-wide use;
- Ensuring internal organization of Legal and Compliance files;
- Assisting with preparation and filing of Form ADV;
- Conducting regular email monitoring per compliance policies and procedures;
- Assisting with annual review of compliance policies;
- Assisting with building compliance training slides and considering firm-wide updates;
- Maintaining a detailed breach log, exception log, violation log and restricted list log;
- Reviewing Expert Network calls per compliance policies and procedures;
- Reviewing IT incident response tests, BCDR testing, phishing testing, vulnerability scans, etc.;

- Creating a preliminary response plan or slide deck to address potential SEC examination document requests;
- Staying current on regulatory developments affecting Registered Investment Advisers;
- Monitoring entity qualifications, legal identifiers and state filings and coordinating with external service providers on the foregoing; and
- Coordinating KYC materials per external requests.

**Experience/Qualifications:**

- Bachelor's degree in a relevant field (finance, business administration, accounting, etc.);
- Two years or more experience working in the compliance department of an entity registered as a Registered Investment Adviser under the Investment Advisers Act of 1940
- Experience developing, implementing or enhancing existing compliance programs;
- Knowledge of regulatory controls and testing methodologies;
- Experience overseeing employee personal trading and other code of conduct matters;
- Understanding of the regulatory framework and industry best practices for Registered Investment Advisers;
- Strong organizational skills and demonstrated ability to manage simultaneous priorities;
- Ability to exercise diligence, diplomacy and discretion when dealing with confidential information;
- High degree of ethics, strong emotional intelligence and can be a reliable team member that is enthusiastic about pitching in where help is needed; and
- Excellent oral and written communication skills.

To apply, please submit a resume and cover letter to [careers@drihealthcare.com](mailto:careers@drihealthcare.com), citing the position title in the subject line. We thank all applicants for their response but only those considered for an interview will be contacted.