



Job Title: Senior Paralegal

Date: August 3, 2021

Department: Legal

FLSA Status: Exempt

Summary:

The Senior Paralegal is responsible for mutual fund and closed end fund paralegal duties in a fast-paced legal department. This position provides paralegal support to the investment management areas of the Legal Department as needed. The Senior Paralegal also assists in-house counsel with various projects (corporate, investment advisers, hedge funds, private funds, global funds, real estate, etc.) The appropriate person will be a self-starter who can prioritize and work on multiple projects concurrently.

Primary Responsibilities:

1. Drafts and files SEC regulatory filings, including registration statements on Form N-1A and Form N-2.
2. Coordinates Board of Trustees meetings, including drafting meeting agendas, materials, resolutions, and minutes and liaising with members of the Board regarding meetings and follow-up matters.
3. Coordinates closed-end fund shareholder meetings – proxy, transfer agent and other meeting related requirements.
4. Maintains the minute books and records for the mutual funds and closed-end funds.
5. Serves as a liaison between the Legal Department and other departments and outside affiliates/legal counsel.
6. Assists in the review of ISDA agreements and other derivatives-related agreements
7. Reviews and completes RFPs and DDQs
8. Assists members of the Legal Department and various agreements related to mutual funds and closed-end funds, including distribution related agreements

9. Assists in-house counsel as needed with special projects: fund launches, regulatory and internal audits, closing binders, due diligence materials, insurance, etc.
10. Handles administrative support functions including but not limited to: editing/revising documents, filing, processing check requests and expense reports, scheduling meetings, etc.
11. Handles confidential and sensitive information including contracts, offerings, litigation, etc.
12. Conducts legal research on a variety of topics.
13. Performs related duties as assigned.

Preferred Qualifications:

1. Bachelor's degree required.
2. Paralegal certificate required from an accredited ABA approved curriculum.
3. At least 5 years of corporate paralegal experience, preferably in a financial services organization.
4. Must have excellent research and drafting skills.
5. Must have good attention to detail with strong organizational skills.
6. Must have excellent oral and written communication skills.
7. Strong computer skills in Microsoft Word, Excel, PowerPoint, and Outlook.
8. Familiarity with board book software like Diligent or Board Vantage.