



Senior Internal Controls & Compliance Officer - MLRO

Part of the Compliance Team

Reporting to the Head of Compliance & Internal Control

Role Purpose

At H2O, the Compliance and Internal control team is responsible for ensuring that H2O, its employees, and its products meet the principles and rules set out by regulators.

Our mission:

- ⇒ **Compliance risk assessment:** take a risk-based approach in order to allocate the function's resources efficiently. A compliance risk assessment should be used to determine the focus of the monitoring and advisory activities of the compliance function.
- ⇒ **Advise and assist** people concerned in the conduct of their mission for asset managers and investment services provider so that they can carry out the tasks placed under their responsibility in compliance with their professional obligations.
- ⇒ **Monitor:** audit and assess the adequacy and efficiency of the monitoring system as well as its compliance with all applicable laws, contractual rules and regulations. The monitoring system includes the compliance monitoring system, the internal control system and the risk management system.
- ⇒ **Report:** regular written compliance reports are sent to senior management and cover all business units involved in the provision of investment services and activities and recurring reporting obligations in order to comply with regulatory requirements.

As the Senior Internal Controls & Compliance Officer at H2O AM London, you will be responsible for:

- ⇒ Supporting the wider team with BAU Compliance requirements:
Reviewing marketing materials, presentations, DDQs and the H2O website to ensure i) compliance with FCA Regulations, SEC, CBI, CFTC & NFAs rules and principles, and the Firm's policies and procedures and ii) regulatory issues identified are addressed.
- ⇒ Actively playing a part in the overall running of the Compliance program by:
 - On a bi-weekly basis, contributing to the H2O Legal Risk and Compliance Committee.
 - Performing deep dive analysis on Compliance processes implemented globally to identify any gaps with our regulations, update relevant policies or provide a new framework, perform/organize the dedicated controls or complete if needed and teach other team players how to process controls as a back up
 - Ensuring that effective governance structures, systems and controls are developed and operated
 - Following FCA, SEC rules & principles and the Firm's policies and procedures, and seeking guidance from management when appropriate.
 - Setting and following high standards of compliance conduct.
- ⇒ Proactively developing working practices across the business to improve performance and efficiency with regards to Compliance across H2O Group



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- ⇒ Monitoring regulatory developments in relevant countries (UK – US – Australia and Ireland) and keeping management duly informed; ensuring that relevant laws, rules and regulations are identified and evaluated in a timely manner and that the practical implications are communicated to relevant staff for all H2O locations;
- ⇒ Supporting the Head of Compliance and Internal Control by supervising more junior staff;
- ⇒ Supporting the Head of Compliance and Internal Control by interacting as a key point of contact with UK, US, Australian and Irish regulators;
- ⇒ Handle the Money Laundering Responsible Officer role.

Role Requirements

- Master Level qualification in Finance, Legal, Economics or similar ;
- Project or Change Management experience ;
- A team player with a pro-active approach, flexible ;
- Experience of working in an environment impacted by multiple regulators such as AMF, FCA, SEC, CBI, CFTC & NFAs ;
- Experience of working with multiple funds or products ;
- Experience of working with multiple third parties and legal subsidiaries across the world ;
- Proficiency in using Microsoft Office – Word, Excel, and Power Point ;
- A legal qualification or experience.

To apply

To apply, please send your CV to the following email address : careers@h2o-am.com