

Part of the Compliance and Internal Control team

Reporting to the Head of Compliance and Internal Control (RCCI) of H2O AM Europe

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
- ⇒ Advice and assist the 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.
- ⇒ Monitoring: audit and assess the adequacy and efficiency of the monitoring system of the asset Management Company as well as 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.
- ⇒ Reporting: 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.

H2O AM EUROPE is the main management company of the H2O AM's funds.

Main accountabilities

As an **Internal Controls & Compliance Officer at H2O AM Europe** you will be responsible for:

To ensure compliance with relevant laws, rules, regulations and internal Group policies applicable to H2O to manage the firm to be in line with stated objectives laid down by the H2O Executive Committee and Supervisory Board and regulatory requirements of the AMF and other regulatory bodies from time to time.

Responsibilities will include:

- Ensuring maintenance of key information in respect of regulatory licences/ authorisations etc.; and ensuring that all necessary information is up-to-date and provided to regulatory bodies re changes in corporate structure, Directors, Senior Managers, Certifiable employees etc., as appropriate;
- Providing general advice on business/transaction matters (including fund marketing, conflicts of interest, Market abuse, MIFID II, AML, SFDR, Chinese walls issues etc...);
- Conducting regular updates of compliance manuals, operating procedures and compliance guidelines to reflect the changing regulatory environment and requirements;
- Conducting routine monitoring or supervise routine monitoring according to the Compliance Monitoring Plan to ensure that business is conducted in accordance with regulatory requirements (including 'know your customer' records; cross trades, pre-allocation, personal account dealing, MIFID regulations, charges, best execution etc...); Where breaches are detected, ensuring timely rectification and reporting to Management and other parties as appropriate;
- Ensuring review of new offering documents, periodic performance reports, marketing materials, RFPs and other publications which constitute 'financial promotions'; and review H2O Internet web site so that regulatory requirements are addressed;
- Ensuring proper reporting, recording and handling of customer complaints including any necessary reporting to regulators;
- Monitoring regulatory developments in relevant countries and at European Union and France level 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 (e.g. marketing/fund management prohibitions or liberalisations) are communicated to relevant staff;
- Chinese walls, market abuse and conflicts –ensuring compliance with Restricted List prohibitions on dealing (e.g. for personal account); ensuring that possible conflicts are identified, documented and are appropriately handled, including the issuance of policies and procedures, training thereon and monitoring;
- Participating in Internal and External Auditors in respect of audits to be performed (including guidance as to applicable regulatory requirements and checks to be performed);
- Ensuring continuing compliance with the France Data Protection legislation and relevant codes of conduct;
- Reporting and liaising with the Money Laundering Reporting Officer for all AML and other relevant regulatory requirements;
- Carrying out any Ad-Hoc Tasks, as required by the business or management

Role requirements

- A team player with a can-do and flexible approach.
- Master Level qualification in Finance, Legal, Economics or similar
- Between 2-5 years of working experience in Finance/Bank area
- Project or Change Management experience
- 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.
- Fluent in English – Written and Spoke

To apply

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