



Internal Controls & Compliance Officer

Part of the Compliance Team – Certifiable Employee
Reporting to the CCO H2O AM LLP

About the job

H2O Asset Management (“H2O AM”) is a global macro investment management company founded in August 2010. H2O AM is based in London (H2O AM LLP) where the job is offered, in Monaco (H2O Monaco), in Singapore (H2O AM Asia), and in Paris (H2O AM Europe), which, alongside the other entities, form one global investment platform. H2O AM has been built around an experienced investment team with a long track record of managing global fixed income and global macro portfolios.

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

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

Ensuring 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 FCA and other regulatory bodies from time to time (notably, US, Singapore, Australian or Irish). Responsibilities will include:

1. Assist in overseeing the firm’s compliance with the FCA’s rules on systems and controls
2. Assist with FCA regulatory licences/ authorisations
3. Develop and enhance policies and procedures globally for H2O AM to reflect the changing regulatory environment and requirements.
4. Conduct annual risk assessments and updating these as changes occur globally
5. Assist with implementing e-surveillance system and controls
6. Assist in routine monitoring activities on customer due diligence, asset due diligence and sanction controls
7. Assist in the maintenance of breaches and conflict of interest registers
8. Assist with the market abuse and conflicts framework – ensuring compliance with Restricted List prohibitions on dealing (e.g. for personal account);
9. Monitoring regulatory developments in UK 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
10. Providing general advice on business/transaction matters (including fund marketing, conflicts of interest, Market abuse, MIFID II, AML/KYC, SFDR, Chinese walls issues etc...);
11. 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, MIFID regulations, charges, best execution etc...)
12. 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;
13. Ensuring proper reporting, recording and handling of customer complaints including any necessary reporting to regulators;



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14. Ensuring continuing compliance with the UK Data Protection legislation and relevant codes of conduct;
15. Reporting and liaising with the Money Laundering Reporting Officer for all AML and other relevant regulatory requirements;
16. Carrying out any Ad-Hoc Tasks, as required by the business or management.

Role Requirements

- A team player with a pro-active approach, flexible
- Experience in performing compliance monitoring and testing over transfer agents
- Experience in performing risk assessments
- Experience of working with key risk indicator metrics and senior management reporting
- 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 Spoken

Required

- Master Level qualification in Finance, Legal, Economics or similar
- Between 1-3 years of working experience in Finance/Bank area
- Knowledge of UK, OFAC and UN sanction regimes
- Ability to build working relationships and interact successfully with a diverse group of internal and external contacts
- Ability to work under pressure and produce results without close supervision
- Ability to handle heavy workload under tight timeframes and prioritize appropriately
- Good verbal and written presentational skills
- Project management capabilities
- Confidence at presenting at the board level