



Head of Internal Controls & Compliance (RCCI)

Part of the Compliance Team

Reporting to the Compliance Group Director

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), in Monaco (H2O Monaco), in Singapore (H2O AM Asia), and in Paris (H2O AM Europe) where the job is offered, 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 the Head of Internal Controls & Compliance at H2O AM Europe you will be responsible for:

1. Working alongside the wider Compliance Team to ensure that H2O AM, its employees, and its products meet AMF regulatory requirements:
 - Liaising with Senior Management to understand any concerns or developments from the AMF that need to be addressed or met within H2O AM, and ensuring these are met;
 - Reviewing marketing materials, presentations, DDQs and the H2O AM website to ensure compliance with AMF Regulations specifically, as well as other rules and principles as needed, and the Firm's policies and procedures and ensuring regulatory issues are addressed.
2. Effectively managing all Internal and External Compliance Audits, particularly those required by the AMF, and working with internal teams across the H2O Group to drive improvement:
 - Working with Internal and External Auditors to ensure successful completion of audits required (including guidance as to applicable regulatory requirements and checks to be performed);
 - Working with the appropriate teams to create and complete actions plans with regards to audit recommendations and actions points, taking a proactive and pragmatic approach to improving the quality of internal compliance and controls;
 - Preparing reports for Senior Management and Group Compliance on the status of Compliance topics; co-ordinating periodic compliance meetings; and ensuring preparation and review of Annual Reports on Compliance Risk Management and Risk Map.
3. Actively playing a part in the overall running of the Compliance program by:
 - On a bi-weekly basis, contributing to the H2O Risk and Compliance Committee;
 - Following, and keeping up to date with, regulatory requirements; proactively obtaining legal /compliance advice;
 - Ensuring that effective governance structures, systems and controls are developed and operated;
 - Following AMF and other Regulations applicable to group entities, the Firm's policies and



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- procedures, and seeking guidance from management when appropriate;
- Setting and following high standards of compliance conduct.

4. Proactively developing working practices across the business to improve performance and efficiency with regards to Compliance:

- Monitoring regulatory developments in relevant countries 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.

Role Requirements

- Master Level qualification in Finance, Legal, Economics or similar
- Around 5 years of working experience in Finance/Asset Management area
- A first experience of RCCI will be appreciated
- A team player with a pro-active approach, flexible
- Project or Change Management experience
- Experience of working with multiple funds or products
- Experience of working with multiple third parties and entities across the world
- Proficiency in using Microsoft Office – Word, Excel, and Power Point
- Fluent in English – Written and Spoken