



Internal Controls & Compliance Officer

Part of the Compliance Team

Reporting to the RCCI

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, in Monaco, in Singapore, in Geneva and in Paris where the job is offered (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, you will be responsible for:

1. 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 AMF and other regulatory bodies from time to time. Responsibilities will include:
2. 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;
3. Providing general advice on business/transaction matters (including fund marketing, conflicts of interest, Market abuse, MIFID II, AML, SFDR, Chinese walls issues etc...);
4. Conducting regular updates of compliance manuals, operating procedures and compliance guidelines to reflect the changing regulatory environment and requirements;
5. 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;
6. 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;
7. Ensuring proper reporting, recording and handling of customer complaints including any necessary reporting to regulators;
8. Monitoring regulatory developments and keeping Management duly informed; ensuring that relevant laws, rules and regulations are identified and evaluated in a timely manner



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and that the practical implications (e.g. marketing/fund management prohibitions or liberalisations) are communicated to relevant staff;

9. 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;
10. Participating in Internal and External Auditors in respect of audits to be performed
11. Ensuring continuing compliance with the Data Protection legislations and relevant codes of conduct;
12. Reporting and liaising with the Money Laundering Reporting Officer for all AML and other relevant regulatory requirements;
13. 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 1-3years of working experience in Finance/Bank area
- 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 and French – Written and Spoken