



Confirmed Internal Controls & Compliance Officer

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

About the job

H2O Asset Management (“H2O AM”) is a global macro investment management company founded in August 2010. H2O AM is based in Paris (H2O AM Europe), where the job is offered, in Monaco (H2O Monaco), in Singapore (H2O AM Asia), and in London (H2O AM LLP) 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 Senior Internal Controls & Compliance Officer at H2O AM Europe, 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 AMF and other regulatory bodies from time to time. Responsibilities will include:

1. 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;
2. Providing general advice on business/transaction matters (including fund marketing, conflicts of interest, Market abuse, MIFID II, AML, SFDR, Chinese walls issues etc...);
3. Conducting regular updates of compliance manuals, operating procedures and compliance guidelines to reflect the changing regulatory environment and requirements;
4. 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;
5. 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;
6. Ensuring proper reporting, recording and handling of customer complaints including any necessary reporting to regulators;
7. 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;



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8. Chinese walls, market abuse and conflicts –ensuring compliance with Restricted List prohibitions on dealing (e.g. for personal account);
9. 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);
10. 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);
11. Ensuring continuing compliance with the France Data Protection legislation 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 pro-active approach, flexible
- Experience in performing compliance monitoring and testing
- 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 5-7 years of working experience in Finance
- 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
- Good verbal and written presentational skills
- Project management capabilities