

## Compliance Officer Asset Management

### Our client:

A top Swiss private bank based in Geneva

Member of the Investment Controlling team in charge of the monitoring of the investment restrictions applicable to investment portfolios.

### Role & Responsibilities:

- Identify and escalate non-compliance issues with investment rules applicable to undertakings for collective investment and discretionary portfolios, including the legal, prospectus, contractual and internal investment rules.
- Code investment rules in the front office system
- Participate in the fund's launch to appraise the portfolio model and strategy is compliant
- Review the prospectus and investment agreements in order to ensure they are consistent with the internal guidelines, compliant with legal requirements and that investment restrictions may be implemented in the compliance tools
- Escalate to portfolio managers and senior management any investment breach
- Follow-up resolution and potential compensation of investment breach
- Maintain awareness of investment controlling regulatory developments, assess the impact and initiate necessary changes
- Provide training and advices to portfolio managers on investment restrictions to adhere
- Act as a central point of reference and expertise on investment controlling matters
- Escalate any material compliance/regulatory concerns
- Report to the Boards, committees and counterparties on the investment breaches
- Develop and maintain methods to enhance procedures with respect to the compliance investment controlling function
- Liaise with clients, portfolio managers or delegated companies, if required regarding any investment compliance issues
- Develop and maintain appropriate external contacts within asset management industry in order to obtain market intelligence and where possible to raise the profile of the firm
- Apply a risk-based Compliance Monitoring Programme covering the UK/Swiss regulated business

### Profile:

- Minimum 3-5 years of experience in a similar position
- Comprehensive knowledge of UCITS and other offshore fund regulatory and legal requirements
- Fluency in English; other languages would be an advantage in particular German and/or Italian
- Proficient with MS Office and Bloomberg
- Team spirit, strong organizational and communication skills
- Ability to demonstrate initiative on general and specific tasks

**Contract type:** Permanent contrat

**Rate of activity:** 100 %

**Starting date:** Immediately

**We guarantee you to handle your application in total confidentiality**

Consultant responsable du mandat : Mouhssine Moudrik

Ref : DM1952403311