



Job Description

Title:	Conduct & Governance Manager
Reporting to:	Head of FLA
Line of Defence:	First Line
Location:	Dublin, Ireland
Contract Type:	Permanent, Full Time

Cantor Fitzgerald Ireland Limited

Cantor Fitzgerald Ireland is part of leading global financial services firm Cantor Fitzgerald. Cantor Fitzgerald has offices and trading desks in all major financial service centres throughout the world. We specialise in equities, Investment Banking, Real Estate, Fixed Income and Currencies. Cantor Fitzgerald's affiliate businesses include: BGC Partners, Inc. (BGC), Newmark (NMRK), and GFI Group (GFI). Cantor Fitzgerald Ireland provides a full suite of investment services, primarily wealth management, fund management, debt capital markets and corporate finance. An exciting opportunity has arisen for a Conduct & Governance Manager to work with our team in Dublin.

Responsibilities

Operationalising Compliance

- Liaising with Compliance on upcoming regulatory change, communicating and actioning same within the first line of defence
- Actioning, implementing, and embedding of Dear CEO Letters, Risk Mitigation Programmes, and Internal Audit findings
- Periodic review and update of first line investor protection processes ensuring robust controls exist for good client outcomes
- Training the first line on investor protection processes within CFIL

Conduct

- Promote positive conduct, culture, and behaviour throughout the business
- Point of contact for the business to assist with vulnerable client queries
- Prepare conduct and culture reports for onward reporting to Sub-Committees of Board and to the Board
- Being the driver of change within first line where issues are raised or identified

Product Governance

- Coordinating Investment Committee, Product Approval Committee and Post Product meetings
- Chairing the above meetings ensuring compliance with Terms of Reference
- Review and sign off new product brochures, flyers, Key information documents, Commitment agreements, Investment management agreements

- Preparing positive and negative target markets in line with regulatory expectation
- Launching new products to the sales teams within Cantor Fitzgerald Ireland
- Owning and updating the Product Governance process within Cantor Fitzgerald Ireland in conjunction with Compliance
- Ensuring all sales staff are trained on a product-by-product basis and at a minimum of annually in line with requirements
- Aware of competitor products and market trends

Requirements

- QFA or LCI desirable
- 5+ years within first or second line in a MIFID Firm desirable

Desired skills

- Strong Knowledge of three lines of defence model
- Understanding of MIFID II Product Governance requirements for Manufacturer/Distributor desirable
- Always prioritises good investor outcomes and ability to identify poor practices and make suitable recommendations
- Ability to communicate effectively and drives change
- Previous experience writing policy and or procedural processes within a financial services Firm preferably MIFID
- Prior experience delivering training in a succinct and easily comprehensible manner
- Able to deal with multiple stakeholders including the second line of defence in a proactive and positive manner
- Understanding of investment products and their complexities
- Problem solving – a desire to take an issue, own it and deliver a solution

This a CF-2 Designation role under the Central Banks Fitness & Probity Standards.

Qualified applicants may write enclosing their CV to **recruitment-ireland@cantor.com**, quoting ref:
Dublin – Conduct & Governance Manager