

Job Description

Title: Senior Compliance Manager: Core Compliance

Location: Dublin, Ireland

Reporting to: Deputy Head of Compliance (DHoC)

Contract Type: Non-Specified Purpose Contract for Maternity Cover

Cantor Fitzgerald

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 Senior Compliance Manager to work with our team in Dublin.

Role Summary:

The Senior Manager for Core Compliance will form part of the wider CFIL Compliance team. This is a fixed term maternity cover contract. They will report to the Deputy Head of Compliance and have one direct report. The senior manager will act as an advisor to the business covering a range of regulations including but not limited to

- Fitness and Probity Guidelines
- Minimum Competency Code
- EBA Guidelines for Investment Firms
- Whistleblowing
- MIFID II Conflicts of Interest
- Outsourcing requirements
- Remuneration requirements

Responsibilities

The senior manager will be responsible for

- Providing timely and accurate advice to the first line of defence on Core Compliance matters
- Drafting and reviewing Firm policies to ensure they are meeting regulatory requirements.
- Design and delivery as Subject Matter Expert of the Firm's compliance training and awareness programme concerning all CC material.
- Periodic review and update of Committee and Board reports
- Overseeing the delivery of Compliance Monitoring as it pertains to Core Compliance and promoting a client first culture
- Performing gap analysis on upcoming regulatory requirements
- Reviews of the effectiveness of related first line procedures and escalation of any area of concern or non-compliance as appropriate.

- Assist the DHoC and the broader Compliance team, as may be directed by the DHoC from time to time across a range of activities within the department.

Requirements:

- Minimum of 5 years Compliance experience working with regulations/guidance issued by the Central Bank of Ireland, but also other independent EU Authorities (ie. ESMA).
- Significant prior experience at Compliance Managerial level within the Investment Financial Services Industry.
- Experience of dealing with the Central Bank of Ireland in matters such as day to day communications, Thematic inspections, PRISM visits and interviews.
- Strong technical and practical understanding of applicable regulations and their application across the business.
- A strong working knowledge of the CBI's Strategic Plan and an understanding of the CBI's focus of regulatory interaction with peer group regulated Firm's.
- Strong IT skills (Microsoft applications – Word, Excel, PowerPoint).
- Ability to drive positive conduct culture and behaviour within a team and wider business and always put the client first.

Skills & Qualifications

- A professional qualification including the Professional Diploma in Compliance
- Third level business or financial qualification

This a CF-2 Designation role under the Central Bank's Fitness & Probity Standards.

Qualified applicants may write enclosing their CV to recruitment-ireland@cantor.com, quoting ref: Dublin – Snr Compliance Manager – Core Compliance