

Job Description

Title: Senior Compliance Manager -Wholesale Market Conduct (WMC)

Location: Dublin, Ireland

Reporting to: Deputy Head of Compliance (DHoC)

Contract Type: Full time Permanent

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 Wholesale Market Conduct will form part of the wider CFIL Compliance team. This is a full-time permanent role. 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

- Market Abuse Regulation
- Client Asset Regulations
- MIFID II requirements including;
- Personal Account Dealing
- Investment Research
- Best Execution
- Wholesale Market Conduct Risk

Responsibilities

- Providing timely and accurate advice to the first line of defence on Wholesale market conduct matters
- Drafting and reviewing Firm policies to ensure they are meeting regulatory requirements.
- Reviewing the Firm's Market Abuse framework to ensure it is robust and effective.
- Lead the firm's contact with the Central Bank of Ireland, or any other of the firm's regulatory or industry bodies if/when required on all Governance and CRM related matters.
- Design and delivery as Subject Matter Expert of the Firm's compliance training and awareness programme concerning all WMC material and promoting a client first culture
- Periodic review and update of Committee and Board reports
- Overseeing the delivery of Compliance Monitoring as it pertains to WMC.
- 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). Knowledge of UCITS/AIFMD/MiFID II/EMIR.
- Knowledge and understanding of the Central Banks Wholesale Market Conduct Risk Regime and application of same
- Significant prior experience in a senior leadership role in Compliance within the Investment Financial Services Industry.
- Experience of dealing with the Central Bank of Ireland in matters such as day to day communications, but also in connection with Thematic Reviews, PRISM visits/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 firms.
- 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 or willingness to complete same over time.
- Third level business, financial or legal qualification
- Strong IT skills (Microsoft applications – Word, Excel, PowerPoint) are essential.

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 – Senior Compliance Manager – WMC