

Job Description

Title: Compliance Analyst

Location: Dublin, Ireland

Reporting to: Senior Compliance Manager – Customer Conduct Risk

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 Group, 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 Compliance Analyst to work with our team in Dublin.

Role Summary

The Compliance Analyst will report to a Senior Compliance Manager on the Compliance team. They will be responsible for carrying out periodic testing in line with the Compliance monitoring plan. Testing will include a variety of key investor protection areas under MIFID II such as Suitability, Appropriateness, Product Governance, Client Categorisation and Best Execution as well as Financial Crime monitoring. The Analyst will have the opportunity to interact with a wide range of business stakeholders in the role and provide compliance feedback and recommendations. The Analyst will present their work at the quarterly compliance monitoring forum to the team and contribute to enhancing the Cantor Fitzgerald investor protection framework on an ongoing basis.

Key Responsibilities

- Execute monitoring tasks in line with the Compliance Monitoring Plan
- Prepare output reports detailing observations, findings, and recommendations for review by Senior Manager
- Issuance of final reports to relevant first line functions and ensure findings are remediated where needed and brought to resolution.
- Present findings and recommendations at the quarterly compliance monitoring meeting
- Prepare relevant management information for periodic Committee and Board reporting.
- Assist the Senior Manager in review and updating of compliance policies and procedures.
- Assist in the delivery of compliance training programme for the first line of defence.
- Assist in preparing regulatory responses to the Central Bank of Ireland

Skills & Competencies

- Has a "can do" attitude and takes ownership of an issue from start to finish.
- Offers practical advice to the business.

- Uses experience, knowledge, and judgement to influence and deliver upon objectives.
- Builds a sense of teamwork on his or her team and within/between groups.
- Strives to improve him/herself and the Firm and actively seeks feedback from peers and management.
- A willingness to grow within the Firm and to take on new responsibilities as required.

Requirements

- Business, Financial, or legal qualification third level qualification preferable.
- Microsoft word, excel and PowerPoint skills essential.
- Experience of Compliance Monitoring / Assurance Testing preferred.
- ACOI qualification (or agreement to work towards same).

Please note that under the Central Bank of Ireland's Fitness and Probity Standards, this role is a Control Function 2 (CF2) role - Ensuring, controlling, or monitoring *compliance* by a regulated financial service provider with its relevant obligations

Qualified applicants please send your CV to Recruitment-ireland@cantor.com quoting ref: Compliance Analyst