

Job Description

Title: Compliance Manager

Location: Dublin, Ireland

Reporting to: Senior Compliance Manager

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 Compliance Manager to work with our team in Dublin.

Role Summary:

There is currently a vacant position for a Compliance Manager within the Compliance Function. This role is suitable for a person ready to step into a managerial role. The Compliance Manager will report to a Senior Manager on the team. This role requires a person who is dynamic, practical and has the ability to get things done. You will work as part of a wider compliance team contributing to the delivery of the annual compliance plan and new business initiatives.

Responsibilities

- Delivery of relevant aspects of the Compliance Framework and Compliance Monitoring Plan responsibilities as delegated by the Chief Compliance officer or Senior Compliance staff.
- Support the firm with its obligations under the Market Abuse Regulations such as trade surveillance and the management of inside information.
- Provide regulatory advice to the first line of defence on an ad hoc basis or via project working groups.
- Deliver training to the business in line with the Compliance annual training plan.
- Preparation of periodic reports for the Chief Compliance Officer.
- Assist Senior Managers in review and update of relevant policies and procedures.
- Performing gap analysis on incoming changes to regulation and Dear CEO Letters and communicating changes to the business.
- Working on Central Bank of Ireland requests and inspections with the wider Compliance team and business.
- Proactively identify issues or enhancements and drive change to completion in collaboration with other departments in the business.

Requirements:

- Previous experience in a MIFID Firm preferable.
- Market Abuse experience preferable but not strictly required.
- Minimum of 5 years Compliance or Risk experience.
- Understanding of applicable regulations to Cantor Fitzgerald Ireland.

- Previous experience dealing with the Central Bank of Ireland preferable.
- An understanding and interest in the markets and trading.
- Willingness to learn, ambitious and an overall team player.
- Previous experience in carrying out investigations would be an advantage.

Skills

- Must be an effective communicator.
- Has the ability to provide practical solutions to complex problems.
- Excellent attention to detail.
- Ability to research and apply applicable regulations to the Firm.

Qualifications

- Professional Diploma in Compliance or willingness to complete same over time.
- A Third level qualification (In a discipline such as business or law preferable).
- Strong IT skills (Microsoft applications – Word, Excel, PowerPoint) are essential.
- Willingness to complete additional qualifications to become a subject matter expert on team.

This is a Control Function (CF2) role as per the Central Bank of Ireland Fitness & Probity Standards.

[Generalist Compliance Manager - Cantor Fitzgerald/BGC Careers](#)