



Job Description

Title: HR Regulatory Compliance Officer
Location: Dublin, Ireland
Reporting to: Head of Human Resources
Contract Type: Full time & permanent

Company Overview

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. The firm specialises in equities, Investment Banking, Real Estate, Fixed Income and Currencies. Cantor Fitzgerald's affiliate businesses include: BGC Group Inc. (BGC) and Newmark (NMRK).

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 HR Regulatory Compliance Officer to work with our team in Dublin.

Position Overview

Reporting to the Head of HR, the **HR Regulatory Compliance Officer** will play a pivotal role in delivering the success of Cantor Fitzgerald Ireland (hereafter referred to as "the Firm") on key regulatory commitments set by the Central Bank of Ireland (CBI), delivering the Individual Accountability Framework (IAF) which encompasses Senior Executive Accountability Regime (SEAR) and Fitness and Probity (F&P). Sitting within HR (the first line of defence), this role ensures HR-owned regulatory registers, Fitness & Probity administration, Minimum Competency Code (MCC) records, and other regulatory changes meet CBI's requirements and internal standards. The role coordinates closely with Compliance (the second line of defence) on monitoring, control testing, remediation and regulatory submissions. The jobholder will be responsible for the coverage of relevant activities of the firm, with an excellent level of technical compliance knowledge required in respect of regulatory requirements arising directly from the CBI and other regulatory bodies.

Key Responsibilities

Regulatory Engagement

- Deliver the IAF/SEAR and F&P frameworks for complying with Central Bank of Ireland, conduct rules and remuneration requirements across the firm.
- Managing these frameworks on an ongoing basis to ensure we are meeting the spirit and letter of our regulatory requirements and using automation wherever possible to streamline processes.
- Responsible for all SEAR queries and the execution of the Annual Certification Process, including monitoring and updating with regards to organisational changes and new roles and responsibilities.

- Identify and understand current HR/Compliance business practices and make and implement recommendations to improve efficiency, regulatory compliance and the collation of accurate employee information.
- Update HR documentations, policies and controls.
- Own the end-of-end lifecycle of Pre-controlled Function and Controlled Function roles, including registers, onboarding, role changes, exists and ongoing suitability assessments.
- Design, deliver and track mandatory regulatory training for Pre-controlled Function and Controlled Function roles, embedding requirements into onboarding and ongoing development.
- Support the preparation and maintenance of Statement of Responsibility and inputs to the Management Responsibility Map ensuring alignment with actual roles and structures.

Other Regulatory Areas impacting on Human Resource activities:

- Act as the HR first line of defence owner for people-related regulatory obligations under MiFID and partnering closely with Compliance.
- Work closely with Head of HR to ensure all regulatory related HR policies are updated, embedded and submitted through normal governance.
- Playing a key role in supporting the monitoring of such areas as F&P, MCC , Code of Business Conduct, Variable Remuneration (EBA, ESMA, CBI etc) and reviewing the effectiveness of related first line controls and procedures and escalation of any area of concern or non-compliance as appropriate.
- Lead as primary contact for HR matters on the firm's contact with the CBI, or any other of the firm's regulatory or industry bodies if/when required.
- Monitor Regulatory Horizon for all HR related legislation/regulation and lead delivery of solutions required.
- Assisting with the design and delivery, of the HR compliance related training and awareness programme.
- Delivering key support to line management feeding into any Human Resources projects as may arise from time to time and work towards the achievement of competent Subject Matter Expert (SME) status within the Human Resources Department from a significant regulatory change management perspective.
- Assist the Head of HR and the broader HR team, as directed from time to time, across a range of activities within the department.
- Own HR regulatory systems and data, ensuring accuracy, reconciliation across platforms and production of reliable MI and evidence.

Skills & experience (essential)

- Minimum of 3 years Compliance experience working with regulations/guidance issued by the Central Bank of Ireland, but also other independent EU Authorities (ie. ESMA).
- Experience working in Human Resources or Compliance within the Investment Financial Services Industry.
- Strong analytical, project management and problem-solving skills with a good working knowledge of Microsoft Excel, Visio and Oracle Technology.
- Ability to work independently and at pace to deliver against personal and team targets.
- Articulate with excellent written and verbal skills.
- Ability to influence across a range of stakeholders across the business.
- Technical and practical understanding of applicable regulations and their application across the business.
- A professional qualification could include the ACOI's Professional Diploma in Compliance, or the achievement of the ACOI accreditation over time.
- A business/financial qualification will be desirable.

Behaviours and ways of working

- Strong written and verbal communication and presentation skills.
- **Proactive and solutions focused** with an ability to work under pressure and within tight deadlines while maintaining accuracy.
- Demonstrate ability to work effectively as part of a compliance team across all levels.
- **Problem solving** - proven ability to take complex business requirements and translate these into tangible, workable and commercially smart solutions leveraging best practice tools and techniques.
- **Commercial awareness** - demonstrated ability to see, understand and advise on resourcing matters from a business perspective, establishing credibility, trust and respect from Senior Management.
- **Analytical** - ability to understand and respond to complex problems, draw and present the right insight and recommendations effectively.
- **Adaptable** - Proven ability to thrive in a complex matrix environment, collaborate effectively with broader HR teams and galvanise support for projects, bringing people together to deliver.

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