

Job Description

Title:	Compliance Analyst
Location:	Dublin, Ireland
Reporting to:	Senior Compliance Manager
Contract Type:	Full time – Permanent

Role Summary

The Compliance Analyst will report to a Senior Compliance Manager on the Compliance team. They will be responsible for carrying out periodic tests in line with the Compliance monitoring plan. Testing will include key investor protection areas under MIFID II such as Suitability, Appropriateness, Product Governance and Client Categorisation among other areas. 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 to the team at regular compliance monitoring meetings and contribute to enhancing the Cantor Fitzgerald investor protection framework on an ongoing basis. The Analyst will be responsible for reviewing marketing materials and will assist with other Compliance related tasks as required.

Under The Central Bank of Ireland's (CBI) Individual Accountability Framework (IAF) established under The Central Bank (Individual Accountability Framework) Act 2023 (IAF Act), as an expected Control Function holder, you have a Duty of Responsibility under the CBI Common Conduct Standards. These standards include:

- acting with honesty and integrity,
- acting with due skill, care and diligence,
- co-operating in good faith and without delay with the Central Bank of Ireland
- acting in the best interest of customers and treating them fairly and professionally
- operating in compliance with standards of market conduct and trading venue rules

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 monitoring findings and recommendations as required
- 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
- Review marketing materials prepared by the business
- Assist with other Compliance tasks as required.

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.
- Has a willingness to grow within the Firm and to take on new responsibilities as required.

Requirements

- Third Level Qualification preferable.
- Microsoft Office skills essential with strong Microsoft Excel skills a requirement.
- Financial Services experience
- Experience of Compliance Monitoring / Assurance Testing preferred
- LCI 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

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