

Position Title:	Risk & Compliance Manager
Department:	Legal and Compliance
Position reports to:	Head of Compliance
Location	London

Business Overview

Gresham House is a specialist alternative asset manager providing funds, direct investments and tailored investment solutions, including co-investment across a range of highly differentiated alternative investment strategies. Our expertise includes strategic public, private equity (private assets), timber, renewable energy, housing and infrastructure. We aim to deliver sustainable financial returns and we are committed to building long-term partnerships with our clients to help them achieve their financial goals.

In December 2014, a new management team led by CEO Tony Dalwood set out to transform the former property focused investment trust into a specialist alternatives asset management business. Through a combination of acquisitions and organic growth, the team is delivery on its objectives and now has 80 employees working in London, Oxford and Perth in Scotland.

The company is built around a long-term value investment philosophy and private-equity techniques, and has a core team of experienced, committed and highly capable investment and business managers with strong track records of building asset management businesses.

Role Overview

An experienced Risk & Compliance Manager is required to join the Compliance team on a full-time basis. The role is expected to be split approximately 70% Compliance and 30% Risk.

As a key member of the Compliance team the job holder will be required to undertake a varied role covering Compliance and would take ownership of risk management oversight and reporting.

Role and Responsibilities

Compliance approximately 70%

- Undertake testing as part of the Compliance Monitoring Programme
- Perform Financial Promotions sign off
- Complete regulatory filings and applications through Gabriel and FCA Connect where applicable
- Ensure potential conflicts of interest are reviewed and appropriately escalated and recorded
- Assist colleagues across Gresham House in the development of policies and the establishment of reviews of procedures and policies where needed
- Develop relationships with all relevant internal and external parties (such as custodians and various fund boards and committees), to ensure a culture of continuous improvement
- Be responsible for reviewing, recording and approving day to day compliance requests such as:
 - PA Dealing
 - Gifts and Benefits

- Assist in the preparation and drafting of various board reports for presentation to senior management and external boards
- Assist the MLRO by undertaking identification and sanction screening checks where required
- Assist the business by providing regulatory guidance where required
- Stay informed of regulatory developments and how they would impact on the business
- Deliver compliance training to new starters and assist in the annual Compliance training of all staff
- Carry out other duties and projects as and when required

Risk approximately 30%

- Take responsibility for the quarterly Risk Reporting function which requires:
 - Liaising with fund managers on Risks related to their funds
 - Review/assist with liquidity management reporting
 - Collate and produce quarterly Risk Committee papers
 - Chair the quarterly Risk Committee
- Review the Business Risks and ensure appropriate controls are in place
- Ensure breaches are recorded with appropriate investigation, escalation and resolution
- Help develop a robust due diligence process for oversight of outsourced functions

Qualifications /Skills

- The candidate will have gained 3-5 years' experience within the Compliance and Risk function of an AIFM
- Experience of risk management
- Experience of AIFMD regulations
- An understanding of MiFID II and UCITS, SMCR and private equity
- Excellent initiative, management, and administration skills: proactively taking ownership of matters
- Strong verbal and written communication skills: externally and internally, including managing expectations proactively
- University degree or equivalent