

Position Title	Compliance Analyst
Position reports to	Head of Compliance
Salary	TBC
Location	London
Position type	Permanent

Business Overview

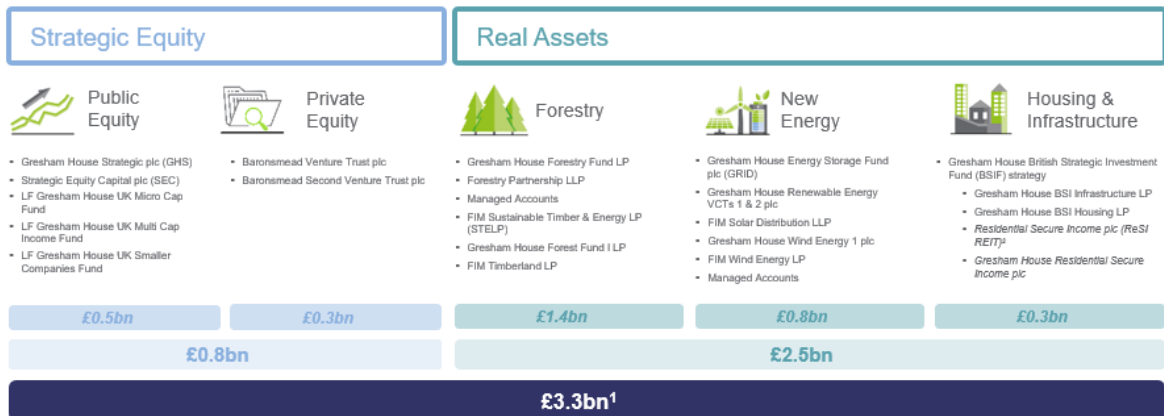
Gresham House is a specialist alternative asset manager providing funds, direct investments and tailored investment solutions, including co-investment across a range of highly differentiated alternative investment strategies. Our expertise includes strategic public, private equity (private assets), timber, 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.

From a standing start in December 2014, through a combination of acquisitions and organic growth, the Gresham House business has grown exponentially, with assets under management now at c.£3.3 billion, (30 June 2020), providing a strong and scalable platform from which to continue to grow. The team is delivering on its objectives and now has c.120 employees working in London, Oxford and Perth in Scotland.

The business divides into two divisions - Strategic Equity and Real Assets:

Gresham House is a fast growing specialist alternative asset management group, quoted on the London Stock Exchange (GHE.LN), providing funds, direct investments and tailored investment solutions, including co-investment.

- Specialists in five areas of alternative investment
- Growing organically and through acquisition, expanding our shareholder base and developing our investment pipeline
- Committed to operating responsibly and sustainably, building long-term value across our portfolio



1. As at 30 June 2020
2. Launching Q4 2020

Role Objective

As a key member of the Compliance team the individual will be required to undertake a varied role and will primarily be responsible for reviewing financial promotions and marketing material to ensure the firm meets its regulatory responsibilities and be responsible for undertaking the Compliance Monitoring Programme.

Key Responsibilities / Accountabilities

- Perform Financial Promotions and marketing review and sign off's and record keeping, ensuring they comply with the FCA regulations
- Undertake testing in line with the Compliance Monitoring Programme, working with the business on issues identified to ensure they are reported, and remediation is completed where needed. Review and develop the program to ensure regulatory risks are captured
- Ensure potential conflicts of interest are reviewed and appropriately escalated and recorded
- Assist with regulatory filings and applications through Gabriel and FCA Connect where applicable
- Assist 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 ACD, 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
 - Outside business interests
- Assist in the preparation and drafting of various board reports for presentation to senior management and external boards
- Assist the MLRO by undertaking KYC, identification and sanction screening checks where required
- Assist with regulatory filings and applications through Gabriel and FCA Connect where applicable
- Assist the business by providing regulatory guidance where required
- Stay informed of regulatory developments and how they would impact on the business
- Carry out other duties and projects as and when required

Skills & Experience

- The job holder will have gained around 2-3 years' experience within the Compliance function of an AIFM
- Experience of AIFMD regulations
- An understanding of MiFID II and UCITS, SMCR and private equity would be ideal
- Excellent initiative and administration skills: proactively taking ownership of matters
- Strong verbal and written communication skills: externally and internally, including managing expectations proactively

Personal Attributes

- Excellent attention to detail combined with strong organisational and time management skills
- Be efficient, reliable and thorough
- Drive and initiative – the desire to add value, proactive approach
- Fast paced – ability to work on a variety of tasks with tight deadlines
- Commitment to the business and the team – the ability to contribute over and above
- Strong intellect - the ability to analyse and distil information quickly and effectively
- Able to communicate effectively and adapt to anyone within the broader team
- Excellent judgement, analytical skills and interpersonal skills

Gresham House is an equal opportunities employer and encourages all qualified candidates to apply regardless of their racial, ethnic, religious and cultural background, gender, sexual orientation or disabilities. Gresham House is dedicated to encouraging a supportive and inclusive culture amongst all our employees.

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