

JOB DESCRIPTION

Position Title	Compliance Manager
Position reports to	Head of Compliance
Salary	TBC
Location	London (Hybrid working)
Position type	Permanent

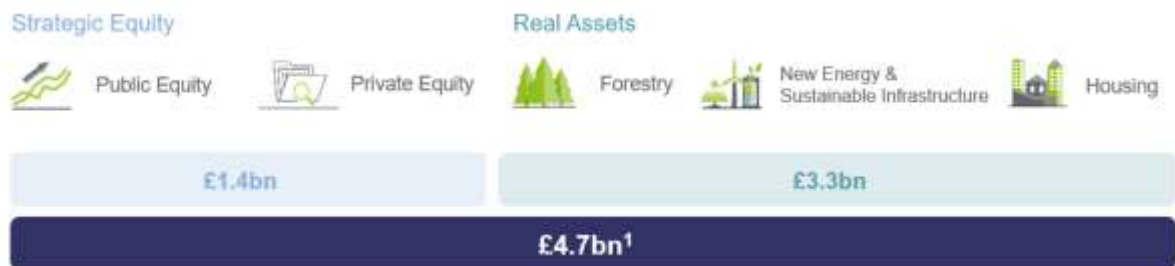
Business Overview

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.£4.7 billion, (30 June 2021), providing a strong and scalable platform from which to continue to grow. The team is delivering on its objectives and now has c.180 employees working in London, Oxford, Dumfries and Perth in Scotland and Dublin.

As a signatory to the UN-supported Principles for Responsible Investment (PRI), our vision is to always make a positive social or environmental impact, while delivering on our commitments to shareholders, employees, and investors.

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



1. As at 30 June 2021

Role Objective:

An experienced Compliance Manager will be part of the UK Compliance team. As a key member of the UK Compliance team, the candidate will be required to undertake a varied role and take ownership of the day-to-day compliance function within the firm across three UK FCA regulated entities with the management of (currently) one member of staff.

This includes providing timely, certain, and concise day to day regulatory advice to the business, ensuring the compliance monitoring program is completed, signing off financial promotions, responding to investor related questions, training employees and approving employee requests where appropriate.

Key Responsibilities / Accountabilities:

Work closely and consistently with the business and colleagues with ability to take a pragmatic approach whilst ensuring Gresham House is not in breach of its fiduciary and regulatory responsibilities, and our clients are front and centre in our activities.

Compliance Advisory:

- Take the lead for ensuring day to day queries received from the business are responded to, referring onward internally where required.
- Work with the HOC to ensure new regulatory requirements are implemented by the business.
- Work with HOC to monitor regulatory updates and assess the impact to the business.

Compliance Monitoring Plan:

- Review and update as needed the compliance monitoring program to ensure it reviews the key regulatory risks of the business. Ensure the program is completed within timescales with issues appropriately reported to the HOC, and any breaches and or risks identified are escalated and monitored for satisfactory closure.
- Undertake the monitoring in Bloomberg (Best Ex, Market Abuse, Order Allocation)
- Work with HOC on quarterly Best Ex Committee preparation, and report production.

Projects:

- As the business continues to grow, both organically and through acquisitions, work in partnership with the HOC and business to identify new risks the business will need to capture and agree appropriate monitoring and reporting with the HOC.

Supporting the Head Oof Compliance:

- As appropriate and agreed with the Head of Compliance, support the business in the absence of the Head of Compliance in various committees or meetings.

Central Compliance:

- Ensure PA Dealing, Gifts and Entertainment requests are reviewed, approved, or declined and recorded as per policies.
- Review and update Compliance policies and procedures as required, and ensure policies are reviewed at least annually.
- Completion of regulatory reporting through FCA Connect and RegData.
- Responsible for ensuring the team sign off financial promotions, and that these follow FCA and MiFID II regulations.

Management of Staff:

- Responsible for managing the Senior Compliance Associate

AML:

- Work with the business in reviewing KYC/AML checks on new investments.

New Employees:

- In partnership with HR, ensure pre-screening checks on new employees are completed.
- Ensure Compliance induction training is completed for new joiners as part of Induction Programme.

Skills & Experience:

- Essential: AIFMD experience from working in an asset management business
- 5-7 years compliance experience

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- Familiarity with UCITS rules and/or private asset/property funds would be useful but not essential.

Personal Attributes:

- Be efficient, reliable and thorough
- Drive and initiative - the desire to add value, proactive approach
- Ability to work on a variety of tasks with tight deadlines
- Commitment to the business and the team
- Adaptable to changing situations and circumstances
- Enjoys working in a fast-paced environment and with a hands-on approach to driving current and new business and delivering results
- Strong intellect - the ability to analyse and distil information quickly and effectively
- Able to communicate effectively and adapt to anyone within the broader team

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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