

## **Job title: Compliance Specialist**

Privium Fund Management (UK) Limited (“Privium”) operates within the financial sector. It is authorised and regulated by the Financial Conduct Authority (FCA) to undertake investment management and investment advisory activities as a Collective Portfolio Management Investment Firm (FCA firm reference number 471186).

Privium’s regulatory approvals enable it to manage and advise Alternative Investment Funds (AIFs) and UCITS as well as managing discretionary accounts. It has relationships with a number of Portfolio Managers and Appointed Representatives (AR’s) to whom it provides an appropriately regulated infrastructure in which to carry out these activities for Professional Clients and Eligible Counterparties from the UK.

Privium works in partnership with these talented portfolio managers and investment advisers to provide them with a robust, regulated, operational environment in which they can focus their investment expertise on their own funds, managed accounts or clients whilst benefitting from its knowledge, experience and infrastructure.

### **The role**

As a Compliance Specialist you will be part of a small, customer facing, team providing support, advice and guidance both internally and externally. A key objective is to ensure that our AR’s and portfolio managers understand and adhere to the regulatory framework in order that Privium can meet its current and future regulatory obligations.

The ideal candidate will have worked in a similarly regulated environment for over 4 years and have an understanding of FCA regulatory requirements for the investment management industry.

### **The following attributes are considered essential to this role.**

- Experience working in a team environment (willing to interact with Front Office/Legal/Risk on certain tasks);
- Prioritisation skills and/or experience working with client demands; this is a hands on role requiring regular meetings with ARs and portfolio managers;
- Proficient in Microsoft Office skills (Excel, Word, Powerpoint, Outlook, etc);
- Deep knowledge of the FCA handbook;

**The following attributes are considered desirable for this role.**

- Legal background;
- CISI Compliance Diploma or similar;
- Providing compliance advice to Appointed Representatives and portfolio managers;
- Experience of project work eg MiFID II/AIFMD;
- Experience of providing external and internal training.
- Deep knowledge of the FCA handbook including MiFID 2, AIFMD, SM&CR and GDPR
- Sound knowledge of Financial Crime (AML/TM/Sanctions/ABC/Fraud, 1<sup>st</sup> AML operations)

**Summary of principal tasks:**

- Contributing to the Compliance team in a dynamic investment management environment;
- Supporting the firm with the on-boarding of new clients to establish appropriate compliance infrastructures including due diligence and AML checks, seeking approvals and setting-up monitoring programs;
- Working with new Portfolio Managers/Appointed Representatives to develop and implement the necessary policies and procedures and providing compliance training;
- Coordinating on-going compliance monitoring including liaising with the Company's appointed representatives to arrange meetings and reviews; participating in compliance reviews and instigating appropriate follow-up actions;
- Reviewing of financial promotions;
- Circulating documents; maintaining records and registers.
- Experience developing the compliance framework for new operating structures as well as conducting regulatory impact assessments
- Helping with annual review of Risk Assessments (EWRA/CRA)
- Circulating documents; maintaining records and registers (Internal Log)
- Carrying out compliance monitoring and reporting (internally and to the regulator) per the annual compliance programme
- Draft/ review policies and procedures