

Job description form

Details of the role	
Department	Compliance
Job title	Compliance Officer – Investment Banking
Temporary/Permanent	Permanent
Reporting to	Compliance Manager
Breakdown of the work involved	
Day to day duties	<ul style="list-style-type: none"> • Provide Compliance advisory support to the Investment Banking, Asset Management, Fund Management businesses. • Keep abreast of relevant regulatory changes and maintain a detailed understanding of CBI, EU and US regulatory requirements such as MiFID 2, MAR, Fitness and Probity, and FINRA rules • Lead and participate in regulatory implementation projects with the first line of defence • Maintain and develop Compliance policies and procedures to ensure compliance with all regulatory requirements • Take responsibility for the design and delivery of Compliance training within the Investment Banking, Asset Management and Fund Management businesses • Assist with day-to-day queries from the business and clients such as questionnaires and client onboarding requests • Build and maintain strong relationships with all colleagues, regulators and other stakeholders.
Experience required	
Specific systems knowledge	<ul style="list-style-type: none"> • Proficient in Microsoft applications principally Word, Excel and Powerpoint.
Experience required	<ul style="list-style-type: none"> • Candidate expected to have at least 3 years working experience in financial services.
Qualifications required	
Specific industry qualifications	<ul style="list-style-type: none"> • Willingness to complete FINRA Series 7 and Series 24 exams in order to provide Compliance support and oversight in relation to our US Broker-Dealer entity. • Detailed knowledge of financial markets regulation, particularly in relation to the trading of financial instruments
Third level	<ul style="list-style-type: none"> • Third level qualification in a business/legal related area is required.

Person specification	
Characteristics of the type of person this role may suit	<ul style="list-style-type: none"> • A strong team player with demonstrated initiative • Highly professional with a good understanding of stockbroking /financial services • The ability to communicate confidently at all levels in the firm • Excellent interpersonal skills with the ability to influence and challenge people • Ability to work in a fast-paced environment • Ability to work under pressure and prioritise workload
Timeframe	
How to apply	<p>Please send your Cover Letter, CV and most recent PR to careers@goodbody.ie.</p> <p>Please include responses to the following:</p> <ul style="list-style-type: none"> ▪ What is your expected salary? ▪ What is your current notice period? ▪ Are you eligible to work in Ireland? ▪ Have you been employed by AIB or any Group Company within the last 2 years ▪ If the answer is Yes, please confirm your date of leaving AIB Group or any Group Company? <p>Closing date for all applications is Wednesday, 12th January at 12pm.</p>

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Goodbody is an equal opportunities employer and is committed to fostering an inclusive workplace which values and benefits from the diversity of our workforce.

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