

Details of the role	
Department	80% Goodbody Fund Management 20% Goodbody Wealth Management / Asset Management
Job title	Head of Funds Compliance
Temporary/Permanent	Permanent
Reporting to	CEO, Goodbody Fund Management, and Head of Compliance, Goodbody
Background	<p>This role includes responsibility for the regulatory compliance of the Goodbody Group’s fund management activities under its AIFMD and UCITS authorised fund management company, Goodbody Fund Management Ltd ('GFM'), and its MiFID authorised firm, Goodbody ('GBS').</p> <p>The role is a pre-approval controlled function, PCF-39F, in GFM and a controlled function, CF2 in GBS. It is envisaged that the time allocated to GFM and GBS will be 80% and 20% respectively.</p> <p>GFM is a growing fund management company. The strategies managed are primarily alternative strategies investing in real assets such as private equity and real estate. Following the recent granting of a UCITS authorisation, liquid UCITS strategies are being launched and it is expected this will be a growth area for GFM in the coming years.</p> <p>GBS is a well-known stockbroker and wealth manager. It currently acts as investment manager to funds in three areas:</p> <ul style="list-style-type: none"> • Goodbody Asset Management: manages a range of funds distributed through intermediaries in Ireland. It is intended that this range of funds will also be distributed in other jurisdictions in the future. • Goodbody Wealth Management – Vantage: manages a range of funds distributed to clients of Goodbody’s wealth management department. It is not intended for these funds to be distributed through other channels. • Goodbody Wealth Management - Property Team: manages real estate AIFs as a delegate of GFM.

Breakdown of the work involved

Responsibilities

Responsibilities include:

- Maintaining an effective compliance framework such that GFM and GBS operate all fund management activity in a compliant manner.
- Carrying out the role of the permanent compliance function for GFM.
- Maintaining and actioning a monitoring programme for both GFM and GBS that takes into consideration all areas of fund management activities.
- Carrying out a compliance risk assessment to enable a risk-based approach to the scope of the monitoring programme and the establishment of priorities to ensure that compliance is comprehensively monitored.
- Maintaining adequate policies & procedures to ensure compliance with GFM's and GBS's legal & regulatory obligations.
- Addressing communication and guidance from the CBI in respect of compliance and regulatory matters.
- Ensuring all regulatory and legal filings are made on time including to the CBI and other competent authorities.
- Interacting with the CBI in relation to regulatory matters, inspections and issues arising.
- Consideration of regulatory changes and their impact on GFM, GBS and their clients, together with implementation of required actions.
- Conducting and overseeing internal reviews periodically to ensure that compliance procedures are followed.
- Ensuring business is carried out to the highest standards of best practice and governance standards, in particular with respect to the delivery and evidencing of controls and processes across all management functions.
- Identifying areas of improvement in processes and documentation.
- Fulfilling and reporting on all areas of oversight associated with the role of Designated Person for Regulatory Compliance of a fund management company.

Experience required

Experience required (years)

- At least 3 years' experience at a senior level (10 years'+ total experience) in a relevant funds related, compliance, legal, audit, controls or regulatory role.
- Experience of working in a highly regulated environment.

Qualifications required

Third level & Professional

The successful candidate should at least have a third level qualification in compliance, business, finance or law.

Person specification	
Characteristics of the type of person this role may suit	<p>We are looking for an ambitious individual who can demonstrate:</p> <ul style="list-style-type: none"> ▪ The ability to translate regulations and CBI guidance into practical procedures. ▪ Strong organisational skills with excellent attention to detail. ▪ The ability to co-ordinate inputs from a large number of diverse sources and form strong working relationships across multi-disciplinary teams. ▪ The ability to identify and prioritise areas of importance using a risk-based approach. ▪ Good interpersonal skills and the ability to communicate effectively with key stakeholders. ▪ The ability to deliver outputs to specific timescales. ▪ Proactivity and high levels of personal initiative. ▪ High awareness of the need to seek best solutions within a highly regulated context. ▪ Highest professional and ethical standards.
Timelines	
How to apply	<p>Please send your Cover Letter and CV careers@goodbody.ie.</p> <p>Closing date for all applications is Friday, 23rd July 2021</p>

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

Goodbody has been a strategic advisor to entrepreneurs, families, private and public companies for over 145 years. We are a full service, investment-led business offering wealth management, asset management and investment banking services. How we work is equally important to us. Deeply proud of our heritage and reputation, quality advice and exceptional client service is at the core of our offering. Thanks to the commitment of all our employees Goodbody was recognised as a Great Place to work in 2018 and 2019. If this sounds like a company you'd like to work with, we'd love to hear from you.

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