

Recruitment of a Compliance Officer - London

Maitland is an international firm providing wealth services to private and institutional clients. We provide the highest levels of expertise and competence working in a way that is uniquely personal, proactive and responsive. Family offices and institutions have trusted us since 1976 to preserve, manage and grow their assets. We work with our clients and not just for them, from offices in the British Virgin Islands, Cape Town, Dublin, Durban, Geneva, Isle of Man, Johannesburg, London, Luxembourg, Malta and Monaco. Maitland is one of the few wealth services groups with the breadth of knowledge and insight to create integrated, comprehensive global solutions.

An opportunity has arisen for a Compliance Officer to join the Risk & Compliance team in our London office.

Summary of the position

The Compliance Officer will be responsible for compliance issues relating to the legal services and investment management businesses in London, the legal services business in Geneva, and the fund administration business in the BVI. The individual will be required to act as Compliance Officer, Deputy Money Laundering Reporting Officer (MLRO) and Data Protection Officer for the two operational entities based in London, act as Compliance Officer to the Geneva legal services branch and act as Compliance Officer and MLRO to the fund administration business in the BVI. In addition, the individual will work with the global Risk & Compliance team and provide additional support where required.

Outline of main duties and responsibilities

The Compliance Officer will be expected to:

- Oversee licensing requirements and regulatory obligations for all licensed individuals in the Maitland operating entities in London, Geneva and the BVI, liaising with the regulators and other appropriate authorities as required;
- Maintain appropriate written procedures to ensure compliance with applicable legislation, regulations and group policies, and to monitor adherence to such procedures;
- Take responsibility for ensuring that all affected entities have made the necessary data protection notifications, and ensuring compliance with applicable legislation, group policies and procedures in connection with data protection obligations;
- Act as Compliance Officer (CF10) for our FSA authorised (application pending) investment business, provide compliance support and guidance to the COLP and COFA of our SRA regulated legal services business, and act as Compliance Officer for our BVI fund administration business;
- Act as Deputy MLRO/MLRO for the relevant entities, taking receipt of and investigating internal suspicion reports and making the necessary external reports where appropriate.

Skills and experience required

The successful candidate will:

- Have at least five years' relevant work experience;
- Have a degree level qualification, or equivalent, ideally in Business, Finance, Law or Compliance and Risk Management;
- Have excellent computer skills, and in particular good knowledge of Microsoft Office packages including Excel, Word, PowerPoint and Outlook email;
- Have the ability to communicate effectively with staff and management;
- Have a discreet and confidential manner;
- Have confidence and persuasiveness, with the ability to motivate colleagues and support the embedding of a positive compliance and risk management culture;
- Be numerate, with good attention to detail;
- Be well organised, with the ability to work autonomously and deal with a busy workload;
- Be self-motivated, mature and able to use initiative.
- Be prepared to get heavily involved in the day-to-day running of the compliance function for the designated offices.

Reporting structure

The Compliance Officer will report to the Acting Head of Compliance based in the Johannesburg office. In addition, the individual will work alongside staff in the Risk & Compliance team across the firm.

Remuneration level

Remuneration will be market related and commensurate with experience and seniority. In addition, the successful candidate will receive a competitive benefits package and be eligible to participate in the firm-wide discretionary bonus scheme.

