

AMBITIOUS? BRIGHT? RIGHT.

GAM is one of the world's leading independent, pure-play asset managers. We provide differentiated active investment solutions and products for institutions, financial intermediaries and private investors. Our core investment business is complemented by private labelling services, which include fund administration and other support services to third-party institutions. Together we share a common set of values rooted in teamwork, integrity, entrepreneurial flair and professional excellence.

Our employees are our most valuable asset. Being able to offer an attractive work environment where talented minds from various backgrounds are keen to work is key to the long-term success of our company. We firmly believe in the importance of maintaining the open culture of a small company, aiming to avoid bureaucracy and encouraging a flexible, accessible and hands-on working style across the Group. In turn, our people reward us with their loyalty.

Investment Compliance Analyst (12 month contract)

Function:

Risk

Department:

Investment Controlling

Purpose

The Investment Controlling team within GAM are responsible for the operation of the regulatory (including UCITS and AIFM rules, ESMA guidelines as well as FINMA, CBI and CSSF guidelines and also the Swiss KAG and BVG, the German KAGB), contractual and internal investment guidelines / restrictions coding and compliance monitoring processes across all of the Group's funds (internally and externally managed) in various jurisdictions and segregated mandates and order management systems in use. They are also responsible for substantial shareholding and short selling monitoring and reporting.

Main Duties & Responsibilities

- Daily investment restrictions compliance monitoring (pre and post trade) of funds and segregated mandates including investigation of potential investment restriction breaches
- Liaising with internal and external portfolio managers regarding investment strategies, answer queries regarding eligibility of financial instruments and/or other investment compliance related topics
- Coding investment restriction rules into order management systems within agreed timeframe and with a high level of accuracy and subject to the dual-control principle
- Participation in internal projects as risk function representative for new fund launches or repositioning of existing funds
- Close collaboration with other departments, in particular within the Risk function and with Legal & Compliance departments (for example, with regard to the drafting of the investment strategy, objectives and restrictions in fund prospectuses and investment management agreements (IMAs))

- Read the prospectuses and/or IMAs, interpret the rules and prepare the rule cards for the coding
- Operation of the investment controlling systems, thereby closely interacting with the Operations (Data Services) and IT functions
- Proactively work with the Head of Investment Controlling to challenge and improve business as usual processes
- Regular investment restriction breach reporting to senior management and clients

Qualification and Requirements

- University degree in Business or Economics or similar
- Relevant practical experience in investment compliance/asset management sector
- Good knowledge of BBG AIM including rule coding skills, experience with Thinkfolio is an asset
- Good knowledge of financial instruments and financial markets
- Good knowledge of the European UCITS and ESMA guidelines

Personal Attributes

- Self-motivated and able to work without close supervision
- Good communication skills both written and verbal at all levels of seniority
- Ability to work independently to a high standard of accuracy and attention to detail
- Strong team player, able to manage competing demands

Benefits

GAM offers a comprehensive range of benefits and performance-based compensation, along with a variety of lifestyle and family benefits to promote well-being in and out of the workplace. These benefits vary according to local market conditions. Please contact the local Human Resources team for further details.

Location:

Dublin

Employing Company/ies:

GAM Fund Management Limited

Reporting to:

Head of Investment Controlling

Contract:

Fixed Term Contract

Regulated Controlled Function:

No

GAM Fund Management Limited
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