

We are seeking a qualified candidate on a 12 month fixed term contract to join our niche wealth management firm as a Compliance Associate to provide cover for maternity leave.

Reporting to the Compliance Officer, the responsibilities of the successful candidate will include assisting the Compliance Officer in preparing and implementing a Compliance Monitoring Plan, maintaining the Compliance Manual, compliance policies and procedures and compliance registers, and preparing compliance reports for various committees, ensuring that the appropriate management information is presented. Due to the size of the team and the business, this role is varied and has a wide remit across all compliance areas with a mix of compliance administration and monitoring.

The ideal candidate will be degree educated with some legal knowledge and have at least 2-3 years of financial services compliance experience. They will have the ability to interact with staff, at all levels, in a fast-paced environment while also being flexible, proactive and resourceful. A high level of professionalism and confidentiality is crucial to this role. Excellent written and verbal communication skills and attention to detail are equally important.

### About MASECO Private Wealth

MASECO Private Wealth offers a holistic wealth management approach in developing and implementing tax efficient global wealth and asset management strategies for US persons who are non-domiciled in the UK. With more than a decade of experience in providing cross-border US Wealth Management services, MASECO employs leading global investment strategies and solutions that are both tax efficient and compliant.

### Our Values

MASECO Private Wealth was founded in 2008 in the wake of the non-domicile tax rules being introduced in the UK. The Partners had previously developed the US/UK private client desk within a large Private Bank in London. They realised that as a result of these legislative changes, a different approach would be required to service the needs of US citizens living in the UK. The alternative structure needed to remain not only tax-efficient and cost effective for American individuals living in the UK but would also need to be built upon global best practices. Just over 10 years later, MASECO oversees over \$1.6 billion in assets for approximately 625 families.

### What we do

MASECO develops and implements global, tax-efficient wealth strategies for families, trusts and foundations based in the UK, USA and internationally. Our aim is to deliver expert advice, designed to simplify and tackle the complexities associated with cross-border wealth management. We deliver comprehensive wealth management and investment advice to clients based on trust and open communication. Our mission is to guide families with cross-border economic interests to a meaningful financial future. MASECO's Wealth Management equation provides a framework for the delivery of a systematic wealth management offering:

Wealth Management = Investment Management + Wealth Planning + Relationship Management

### Specific duties and responsibilities include:

- Assisting the Compliance Officer in preparing a Compliance Monitoring Plan and in its implementation
- Maintain the Compliance Manual, policies and procedures and compliance registers
- Review marketing documentation and other collateral
- Assist in the preparation of compliance reports for various committees ensuring appropriate MI is presented
- Supporting the Compliance Officer in AML testing and assist in the production of the Annual MLRO Report

Authenticity



Teamwork



Pursuit of Excellence



Empathy



Mastery



- Keeping up-to-date with regulatory developments and assess impact on the business
- Support the investigation of complaints in accordance with DISP and maintain the complaints register
- Support the investigation of breaches and errors and maintain the breaches and errors register

**Skills and specifications for the role:**

- Minimum of 3-5 yrs of financial services compliance experience
- Good working knowledge of the UK regulatory framework, in particular COBS
- Helpful to have some knowledge of the US regulatory framework but not essential
- Preferable to have a professional compliance qualification
- Preferable to have education to degree standard with legal knowledge a plus
- Excellent attention to detail
- Ability to work in a team environment
- Strong analytical skills
- Strong report writing skills
- Ability to communicate clearly at all levels both internally and externally
- Ability to work under pressure and to tight timescales

**Education and qualification requirements:**

- Educated to A Level standard

The base compensation is per annum and a discretionary bonus plan and competitive benefits plan is offered.

The closing date for applications is 5 April 2019. Please submit your CV with a covering letter to [Alexandra.McWalter@masecopw.com](mailto:Alexandra.McWalter@masecopw.com)

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