



Introduction

Thank you for your interest in GIB.

We hope that this information will be useful to you as you learn more about our organisation, and we look forward to discussing with you.

Our organisation

We are stewards of over AUM \$9 billion on behalf of institutional clients in the GCC region. Our investment capabilities include: active equities, emerging markets, equity indexation, emerging markets credit and fixed income indexation. We also provide Treasury services to a set of globally renowned institutional clients. Our treasury services mainly focus on deposits and foreign exchange, all whilst ensuring sustainability considerations are met.

Our vision is to scale and mobilise capital in support of sustainable development.

We believe that the greatest profits will accrue to those companies that can solve our greatest challenges. We integrate a range of social, environmental and governance factors deep into our investment processes, and work hard to engage with companies to drive meaningful change.

We are a proud signatory to the Principles for Responsible Investment and Principles for Responsible Banking.

To find out more: www.gibam.com

Our behaviours

Integrity	Collaborative	Perceptive	Agile
<ul style="list-style-type: none">•We have strong moral principles and strive to meet every commitment we make to our clients	<ul style="list-style-type: none">•We work as a team, and help drive our collective	<ul style="list-style-type: none">•We are insightful, have a clear vision and work attentively towards achieving it in an open minded way	<ul style="list-style-type: none">•We are lean, nimble and adaptive

Diversity and inclusion

We are an inclusive employer and value diversity of all sorts, something which our CEO Katherine Garrett-Cox is fully committed to.

We believe in the importance of a healthy work-life balance and work hard to offer everyone flexibility.



Role specific information

Title	Compliance Officer
Department	Risk & Compliance
Report to	Compliance Manager & MLRO
Location	London / Hybrid

The primary purpose of this role

To support GIB (UK) and the London Branch of GIB BSC in meeting their compliance responsibilities, ensuring compliance with the FCA and PRA rules, regulations and guidance as applicable to the business.

This role will support the Compliance Manager & MLRO, by assisting with the following:

- Compliance advisory: assisting with advice on regulatory issues, maintaining compliance framework, training the business in key compliance issues, promoting and measuring high standards of conduct and ethics and an effective compliance culture.
- Compliance monitoring: assisting with ad hoc thematic reviews and control testing, along with maintaining the conflicts of interest, gift & entertainment and complaint registers.
- Regulatory affairs: assisting with identifying and overseeing the implementation of regulatory change impacting the business.

Key responsibilities

Supporting the Compliance Manager & MLRO with:

Regulatory Affairs:

- Assisting with managing the relationship with the regulator.
- Supporting in the preparation and submission of regulatory registrations.
- Producing regulatory reports.

Policies and procedures:

- Reviewing compliance policies and procedures in line with our governance framework requirements against applicable regulatory requirements.

Compliance Monitoring Programme:

- Assist with ad hoc thematic reviews and control testing.
- Tracking implementation of recommendations through to completion.

Regulatory Change:

- Assist with monitoring regulatory change (i.e. horizon scanning) impacting the business and its activities.
- Participation into providing impact analysis of applicable regulatory change.

Advisory:

- Providing clear, reliable and consistent advice to GIB on any compliance issues arising in the business, including in relation to any new business initiatives.
- Investigating and remediating regulatory breaches including notification to the regulators.
- Supporting any cross border initiatives.



Training:

- Assisting with the delivery of classroom or remote training to GIB on relevant regulatory topics.

Reporting and Governance:

- Providing support for reporting to the Business Risk Committee, the Board and the Audit and Risk Oversight Committee.
- Assisting with preparing and submitting necessary reports to Group Compliance.
- Assist with overseeing third party providers incl. risk assessment and SLA monitoring.

Other

- Identify and escalate any significant regulatory issues to the Compliance Manager & MLRO.
- Assisting in the development and maintenance of Compliance desktop procedures.
- Strive to act in line with the target culture including values, behaviours and D&I, promoting a strong compliance culture within GIB.
- Read and understand relevant policies and processes.
- Adhere to relevant rules and regulations and Board approved Risk Appetite Statement and agreed limits.
- Speak up, raise breaches and issues.
- Complete mandatory training on time.
- Maintain personal development plans, and leverage industry associations to keep up to date with market best practices and new regulatory requirements.
- Represent Compliance on relevant governance committee(s) as required.

Skills, knowledge and experience

Relevant compliance or investment management certificate or diplomas desirable.

General experience (around 5 years) in a compliance role working for a UK regulated investment management firm.

Comprehensive understanding of regulatory and/or compliance matters which impact the investment management sector.

Direct experience of cross-border investment and marketing activities desirable.

Proven experience in a role engaged in a regulatory environment that involved translating rules and principles into practical advice for the business.

Ability to assess the impact and relevance of regulatory requirements and articulate them in a clear and precise manner.

Strong communication skills with the ability to work as part of a small team, strong attention to detail and a willingness to learn and develop skillset.

Ability to build strong and effective working relationships with stakeholders at all levels.

Initiative and judgement, with the ability to prioritise conflicting demands.

NB - This role could be performed remotely in the event that the ideal candidate is unable to travel into the office for disability reasons. Other adjustments can be made to support disabilities and neuro-divergences.