

Compliance Officer

As fully-owned subsidiary of Erste Group Bank AG, Erste Asset Management GmbH coordinates and is responsible for all asset management activities of the Group. More than 390 employees develop and manage investment solutions for our investors. In total we currently manage assets of about EUR 62.5bn Euro across 7 different countries.

As fully-owned subsidiary of Erste Asset Management GmbH, SAI Erste Asset Management S.A. ("SAI Erste") is responsible for all asset management activities in Romania. SAI Erste develops and manages investment solutions for both retail and institutional investors. In total, we currently manage approximately EUR 1.1bn Euro assets for more than 82,000 investors, in eight mutual funds and a number of discretionary managed portfolios.

SAI Erste is currently looking for a **Compliance Officer**:

Job description:

- Advises and informs all the company employees on all significant legislative changes concerning the managed entities/portfolios
- Proposes measures in the event of violations of the company's internal procedures or the legal provisions governing the company's activity, as well as its managed entities
- Maintains the direct relationship between the company and the Financial Supervisory Authority (FSA) in connection with all legal and regulatory matters associated to compliance or the managed entities
- Verifies and approves all the marketing materials/investor notices/information materials submitted by the Sales & Marketing Department.
- Approves the company's internal procedures by taking into account both the applicable legal provisions and the standards imposed by the Erste Asset Management GmbH Group. Monitors the updating of the above mentioned documents
- Coordinates the periodic review of DPM agreements and the agreements signed with depositaries, distributors, service providers or other third parties, as well as of the prospectuses and other documents associated with the managed funds
- Performs all legal reporting requirements concerning complaints
- Maintains a register of all the compliance investigations made with regard all the petitions lodged by investors and a register of potential conflicts of interest
- Cooperates with all the company departments to improve workflows within the company.

- Cooperates with all the other subsidiaries/divisions of the EAM Group with respect to the compliance function
- Participates in the process of providing specific AML/CFT/KYC data and information for the compliance activity
- Drafts and updates the internal regulatory framework that is specific for the compliance function
- Monitors personal transactions in order to ensure compliance with all the legal requirements and internal regulations
- Reviews instances of non-compliance and gives opinions in writing
- Provides support in drafting responses to inquiries received from the individuals who exercise their rights under personal data protection laws
- Provides support in the drafting of company procedures/policies/agreements/addenda that have an impact on the processing of personal data

Job requirements:

- Bachelor's degree in law or economics
- advanced knowledge of Microsoft Office (excel, power point)
- good knowledge of financial instruments and interest on financial markets
- communication skills and team spirit
- fluent in English
- work experience within the financial services industry for at least 2/3 years (fund management experience is a plus)

Our offer:

- a friendly, respectful, and innovative working environment
- a great opportunity to work in a challenging and international environment within a high-qualified team from 6 countries
- support for your personal and professional development

Did we raise your interest?

Please send your full application with CV and cover letter, exclusively via e-mail at office@erste-am.ro.