



Tutman Compliance Manager – Maternity Cover

Location: Remote or hybrid working will be considered.

We have an exciting opportunity for a Compliance Manager to join our Tutman Compliance team to cover a period of maternity leave. We expect the role to be required for at least 12 months.

Overview:

Tutman is an independent Authorised Fund Manager who, as part of its business model, outsources critical functions to third party delegates.

The primary function of the Tutman Compliance team is to oversee the compliance of Tutman's delegates through their operation of effective systems and controls, in conjunction with the wider Tutman team and other group functions (e.g. CASS, Finance, IT and Risk). This oversight takes place through our robust initial and ongoing due diligence and breach management process.

Tutman Compliance look to provide assurance that effective systems and controls are in place (and take appropriate action where required) to ensure we can collectively demonstrate to regulators and Depositaries/Trustees that Tutman and our delegates are compliant.

Job Description:

The main focus of the role is to direct and lead the Tutman Compliance team and complete compliance monitoring on our appointed parties and first line controls (as part of Tutman's second line of defence) in line with regulatory requirements and industry best practice. The monitoring will predominantly be desk-based but will also involve some on site due diligence visits, mainly in London.

Other responsibilities include:

- People management of the Tutman Compliance team
- Contributing to regulatory change monitoring and implementation.
- Providing timely governance reporting into committees/Board using the format and on the frequency specified.
- Participating in audit reviews performed by third parties (e.g. Depositaries/Trustees) and other external meetings where required.
- Overseeing breach management and assist with the complaints process.
- Reviewing fund related literature to ensure material is compliant.
- Providing advice and guidance to colleagues and third parties.
- Attending committees and internal meetings.

The job holder should have proven financial services experience from working for or with an Authorised Fund Manager or delegate (e.g. Transfer Agent, Fund Administrator) in an investment management environment and have a good understanding of FCA regulatory requirements, industry best practice and an understanding of risk management, both in a regulatory and a wider business context.



They should be educated to an A Level standard with Degree standard preferred and, ideally, hold a relevant industry qualification (e.g. Investment Operations Certificate with Diploma in Investment Compliance preferred).

They must have practical experience of undertaking due diligence or audit work with the ability to review outsourced functions, give negative and constructive feedback to appointed parties and to both participate in and manage projects. Previous people management experience is also desirable.

If you are interested in this position, or would like any further information, please contact HR by email at: careers@thesisam.com.

Closing date for applications: 31 October 2021