



HEAD OF FUND OVERSIGHT & REGULATION

Banque Havilland S.A. offers traditional Private Banking Services to High Net Worth Individuals and Families across the globe. The Bank is committed to providing clients with a highly personal and professional service in all aspects of its operations. The success of this strategy is ensured through our team of highly dedicated employees who contribute to a strong service and client oriented culture.

We are currently looking for a **Head of Fund Oversight & Regulation (permanent contract)** to join our head- office located in Luxembourg.

Role description

The **Head of Fund Oversight & Regulation** provides the required support to the Institutional Banking (IB) team in terms of regulatory guidance in the framework of the relevant IB activities including:

- Depository Bank Oversight (DOS)
- Register & Transfer Agent
- Investment Vehicles On-boarding and Periodical Review
- First Line of Defence (FLOD) controls and related log maintenance
- Corporate Secretarial services for funds
- Other Specialised Institutional Services (SIS)

The employee ensures the best compliance of the businesses and investment vehicles with the relevant regulations, procedures, contractual agreements and operating memorandums.

The employee reports directly to the Group Head of Institutional Banking.

Key responsibilities

- Under the Group Head of Institutional Banking's guidance, the employee liaises with Compliance, Legal and Audit for all the matters involving or impacting the Institutional Banking activity;
- Proactively informs the bank on the regulatory developments affecting investment vehicle industry (UCITS V, AIFMD, AML Directive (EU) 2015/849, MIFID II, FATCA, CRS, PRIIPS, GDPR, etc.) and provides the necessary assistance and support to ensure updated documentation and compliance of existing and new businesses and investment vehicles;
- Ensures set up services (liaising with promoters, Manco, lawyers and notaries) and secretarial services for investment vehicles and related entities, including: preparation and support for annual general meeting, EGM, boards, circular resolutions, drafting of minutes and publications;
- Liaises with Manco and external lawyers with regard to drafting, updating and execution of all the documentation related to the funds including, among others: articles of incorporation, prospectus, KIIDS, related to set-up of investment vehicles and launch of sub-funds;
- Liaises with internal and external auditors for the periodical and yearly reports related to the investment vehicles served as well as in the framework of the preparation of the bank's short and long form reports.
- In the context of SIS, ensures liaison with the relevant stakeholders and external lawyers with regard to appropriate escalations and follow up on AML and credit matters.
- Supervises the activity of Depository Bank Oversight team composed by two resources.

Minimum profile requirements

- Preferably Bachelor's degree in Business Administration, Legal, Economics or similar
- Sound experience in the Luxembourg financial services industry and proved understanding of regulatory requirements applicable to the fund industry
- Fluent in English and French. Knowledge of Italian is an asset.
- Team working and proactive approach
- Professional behaviour, integrity and sound ethical attitude
- Discretion and great care in handling sensitive situations and confidential information
- Proactive attitude towards problem solving and willing to take full accountability for her/his actions

We offer:

Located in bright and modern offices in Kirchberg-Luxembourg City, Banque Havilland was founded in 2009 and currently employs around 240 employees from all over the world. The Bank has presences in Monaco, Liechtenstein, London, Dubai, and Zurich. We offer a pleasant and collaborative working atmosphere in a truly multicultural environment.

We believe that diversity & inclusion contribute towards increasing the collective performance of the bank. We are committed to creating a culture of inclusion that encourages individual development with equal opportunities for all.

We value empowerment, fairness, integrity and diligence, and your personal development is our priority.

If you are interested in taking this challenging opportunity, please send your application (cover letter, CV, supporting references) to the following e-mail address: **careerbh@banquehavilland.com**.

Only shortlisted candidates will be contacted by our HR team.

The personal information you provide in your job application will be treated confidentially at all times and will be processed in accordance with the applicable data protection law, in particular the General Data Protection Regulation (GDPR).

In compliance with the law of 23rd July 2016, the selected candidate will be requested to provide a criminal record (section 3).