

## FUTUREGROWTH ASSET MANAGEMENT IS RECRUITING!

We have an exciting opportunity available for an Investment Compliance Specialist in our Compliance team.

*Futuregrowth is committed to transformation. A strong preference will be given to suitably qualified previously disadvantaged candidates.*

### Investment Compliance Specialist

Are you passionate about compliance and seeking a rewarding career in fiduciary asset management? Do you have strong communication and interpersonal skills? Are you highly organised and adaptable, with a strong ethical base? Then this position is for you!

### Who is Futuregrowth?

Futuregrowth has been South Africa's leading developmental, responsible and fixed-income investor for over 25 years. We manage a range of fixed interest and development funds and play a key leadership role in the South African asset management industry. We are committed to investing our clients' funds in a responsible manner, with the interests of our clients always coming first.

### Purpose of the position

To support the implementation, operation and ongoing enhancement of data-driven and trade compliance processes, systems and controls. The role supports the Regulatory Compliance function by embedding a strong culture of compliance across the investment process, with a particular focus on mandates, trade monitoring and data integrity.

### Key responsibilities of the position

#### Compliance Framework, Monitoring & Controls:

- Embedding and reinforcing a strong compliance culture across investment and operational teams;
- Supporting the development, implementation and maintenance of compliance risk management and monitoring plans;
- Executing daily pre-trade and data-driven compliance monitoring using the Charles River (CRIMS) system;
- Performing daily Compliance Processing after Infostore and IBOR checks have completed;
- Monitoring, investigating, analysing and recording daily breaches, maintaining accurate breach reconciliations and registers;
- Reviewing and actioning CRIMS data warnings; liaise with data teams and maintain permissible security lists (e.g. CISCA); and
- Approving and investigating daily trade alerts in collaboration with Portfolio Managers and Traders.

## **CRIMS, Mandates & Data Management:**

- Maintaining, coding and updating segregated and pooled mandates within CRIMS, including new mandates, amendments and terminations; and
- Drafting new mandates, amendments and addendum while managing mandate version controls and trackers.

## **Reporting, Registers & Regulatory Requirements:**

- Preparing daily, weekly, monthly and quarterly compliance and breach reports for internal stakeholders and clients;
- Compiling regulatory and internal reports, including Regulation 28 and Regulation 30 classifications, CISCA BN 90 exposures, PIT files placements and ratings reports;
- Drafting compliance and breach correspondence, including Regulation 28 breach letters; and
- Maintaining regulatory and compliance registers, including breach and representative registers.

## **Stakeholder Support, Projects & Assurance:**

- Providing day-to-day compliance support to Portfolio Managers, Traders, Business Development, Client Management and Client Reporting teams;
- Participating in ad hoc projects and system enhancements, including CRIMS rule reviews and data quality initiatives; and
- Providing information and support for annual audits and assurance reviews.

## **Knowledge and experience required**

### **Skills, know-how and experience:**

- 3-5 years' relevant experience, preferably within asset management or investment compliance;
- Working knowledge of legislation applicable to institutional asset management, including FAIS, FICA and POPIA;
- Exposure to pre-trade compliance, mandate monitoring and investment data controls;
- Advanced Microsoft Office skills, particularly advanced Excel proficiency.
- Experience with Charles River (CRIMS) and compliance monitoring systems advantageous; and
- Strong data analysis and reconciliation skills with high attention to detail.
- Experience with CURA, SharePoint or CRM systems would be advantageous.

### **Professional qualifications:**

- BCom Finance/Investments or related qualification; and
- Any additional relevant Compliance qualification would be advantageous.

## **Key behaviours and competencies:**

- Strong analytical and problem-solving skills, particularly in relation to data and mandates;
- Problem solving skills;
- Aptitude for building and maintaining relationships;
- Aptitude for teamwork and collaboration;
- Quality orientation (includes attention to detail);
- Ability to be client focused;
- Stress tolerance;
- Good communication skills, both written and verbal;
- Capacity for initiating action;
- Planning and organising skills;
- High work ethic;
- Confidence and the ability to remain independent at all times;
- Curious and wanting to learn;
- Results orientation;
- Collaborates effectively; and
- Integrity.

## **Recruitment process and closing dates**

Selected candidates will need to attend a series of competency-based interviews/ activities and a psychometric assessment.

## **Application Link**

[Click here to apply](https://bit.ly/3O7I35F) (https://bit.ly/3O7I35F)