



## Job Title | COMPLIANCE AND CORPORATE ASSOCIATE

### JOB PROFILE | Compliance and Corporate Associate

BUSINESS AREA: **Legal & Compliance**

LOCATION: **London, SW1**

#### Who we are

LCM Partners is one of Europe's leading alternative investment management firms with 25 years' experience investing in private debt.

Established in 1998, the Group is responsible for managing over €60bn of loans as a specialist in the investment and management of performing and non-performing receivables with over 1,000 people in 12 offices across nine European countries. Specialising in the more granular end of the private credit markets, the firm acquires portfolios of consumer and SME loans from financial institutions via the LCM Credit Opportunities fund strategy (COPS) and provides new origination through its direct lending fund strategy, LCM Strategic Origination & Lending Opportunities (SOLO).

#### Career at LCM Partners

We foster a forward-thinking culture, and we always seek out ways to improve. Our people embrace the challenge, solving problems with creativity, analysis, and positive attitude. We work hard but we enjoy what we do.

At LCM people come first. Our people policies continue to evolve to offer our employees better support they need to succeed at work and in their career.

#### What you'll do

The Job Holder will work as a **Compliance & Corporate Associate** within our Legal function, covering various legal, regulatory and compliance tasks for the Company with responsibility for AML and KYC. The role will be based in London.

More specifically, you will be responsible for:

#### AML & Financial Crime

- Management of all AML/KYC and regulatory requests for LCM from internal and external parties, counterparties (sellers, purchasers, consumers) and auditors etc
- Transactional counterparty AML risk assessments, KYC/KYB collation, relationship monitoring, sanctions and PEP screening on behalf of LCM
- Know Your Investment on-boarding on behalf of LCM
- Review and monitoring of external service providers AML/CFT/Sanctions processes
- Responsible for LCM's general AML compliance with UK, Ireland, Luxembourg, Cayman Islands and wider EU AML requirements to ensure that the AML programme is consistent with all applicable local laws, regulations and rules and updated, as required
- Draft quarterly AML Board Reports, review AML reports of external providers to the LCM strategy Fund Boards

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### Compliance

Working in support of the Chief Compliance Officer:

- Responsible for training programmes and updating of compliance policies on behalf of LCM in compliance with regulation and guidance
- Responsible for regulatory compliance, providing oversight, control, support and coordination with statutory requirements in the UK for LCM as an FCA regulated business
- Manage and maintain a regular monitoring and reporting process to senior management, the investment committee and the board of LCM
- Draft Compliance Board Reports to the LCM strategy Fund Boards, LCM and senior management
- Periodic filing, reporting and regulatory submissions to the CSSF on behalf of the fund(s)
- Prepare and manage external compliance consultant review programme, implementing changes as required
- Respond to investor due diligence queries on compliance matters

### Corporate Administration

- Deal with correspondence / reports / board papers, including those of a confidential and sensitive nature on behalf of LCM and the fund entities as required and in conjunction with the Legal Team and the Fund Administrator
- Responsibility for management of LCM's minute book and statutory or regulatory corporate registers
- Maintain Group structure charts and company information
- Management of SM&CR updates and periodic reviews
- Working with Legal and Fund Operations, to provide support for and coordination of internal and external roles in establishment of new corporate entities and processes

In respect of all of the above

- Escalate matters to General Counsel/CCO, Senior Management and/or Risk Committee as appropriate
- Support to General Counsel/CCO, Legal, Fund Operations and Finance Teams as required within the scope of this role
- Other project work or duties as required by the General Counsel/CCO, Directors or senior management

### What's required

- 4+ years' experience working in compliance roles within financial services, preferably in asset management with an AML/KYC and financial crime focus
- Educated to degree level (2:1 minimum)
- Compliance certificate / diploma (e.g. ICA, CISI, CAMS)
- Written and spoken English to a high standard
- Very good interpersonal skills to facilitate accurate and professional advice at all levels
- Strong communication skills – articulate, confident and self-assured, in order to deal effectively and appropriately with all individuals internally and externally
- Analytical and organisational skills with excellent attention to detail
- Microsoft Office, particularly Excel to an advanced level
- The ability to work as part of a team, manage tasks and project manage effectively
- The aptitude to deal with volume queries, multi-tasking and prioritizing efficiently



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### Our reward for your work

- Participation in discretionary annual performance related bonus (as an additional % of salary)
- Fully paid comprehensive health care plan
- Other benefits to include pension and life insurance
- 25 days holiday
- Generous social agenda to embrace work relationships and friendships