



Kepler

Kepler Partners LLP
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Compliance Manager

Overview: Kepler Partners

Kepler Partners is an independent boutique specialising in the regulated funds market. Our business is constructed from four core verticals:

- Kepler Liquid Strategies – UCITS Asset Management platform focusing on alpha generating strategies
- Alternative UCITS research and consultancy
- UCITS capital raising
- Investment Trust services

Kepler Partners LLP is an FCA authorised investment manager. Our investment vehicle - Kepler Liquid Strategies (KLS) is a Dublin domiciled UCITS umbrella platform on which we host our own Emerging Markets funds and five externally managed strategies selected via our detailed research process. Assets under management is currently \$2bn.

Managers for our platform are selected via Absolutehedge.com, an alternative UCITS research platform aimed at the professional allocator community. Through our coverage of the Alternative UCITS sector we provide advisory services to a select number of wealth management clients, advising them on their alternative allocations. We also write strategy research and host conferences across Europe.

Separate to this, our investment trust team is retained by 18 highly regarded corporate clients to provide direct sales and marketing services. In addition to this, we have a leading investment trust research service that is retained by more than 70 corporate clients and publishes research via www.trustintelligence.co.uk which reaches thousands of institutional and retail investors on a monthly basis.

Kepler is a limited liability partnership and headquartered from London, with a subsidiary in Frankfurt. We are currently a team of 37 people and offer a competitive compensation structure, private medical insurance, pension scheme and other benefits such as yearly company offsite, regular social events, travel subsidies and 25 days holiday.

Kepler is entirely independent and is solely driven to provide the best level of service for its clients.

The Role

Your responsibilities / main tasks:

- Deep technical FCA regulatory knowledge for the asset management sector and the rules which apply to the business.
- Serve as first point of contact for the national supervisory authorities and maintain communication and reporting lines towards the FCA.
- Act as permanent Compliance and Anti Money Laundering (AML) Officer for Kepler Partners LLP, reporting and working closely with the Asset Management COO and Senior Managers responsible for Compliance & AML in London.
- Assist with the review and processing of all research and marketing publications, as well as internal and external Company communications. Ensure the sign off process is rigorously planned and maintained.
- Establish and implement an UCITS-compliant and effective control framework.
- Monitor daily compliance workflow queues across all business lines (UCITS and Investment Trust) and decision escalated workflow items.
- Ensure that policies and procedures are implemented, periodically reviewed and are working effectively.
- Ensure adequacy of the periodic reports to be issued by the control functions (Management Board, KLS ICAV Board, FCA, CBI, Investors).
- Be responsible for the ongoing monitoring of the fund's compliance in relation to (i) investment strategy and restrictions, (ii) fund return profile and (iii) regulatory and legal requirements.
- Review and validate disclosures in the fund's documentation (fund prospectus, fund supplement, annual reports, etc.) in relation to regulatory compliance.
- Contribute to the development and improvement of existing compliance monitoring program, valuation and reporting tools and processes.
- Support Investors enquiries, ODD requests and meetings where required.
- Drive compliance related projects and developments (internally and at group level).

The Candidate

- Bachelor's degree from an accredited university in Finance / Business Administration, or other relevant field.
 - Compliance certificate or qualification would be advantageous.
 - At least 5 years of relevant experience within the fund industry (e.g., fund management, fund research, fund governance and compliance).
 - Extensive knowledge of the day-to-day activities as well as the value chain of a UCITS Investment Management Company, its functions and related service providers.
 - Extensive knowledge of Mifid II Research & Inducement rules.
 - Deep knowledge in local and supranational regulatory requirements (i.e., FCA circulars, UCITS Guidelines, etc.). Significant experience with UCITS structures will be considered an asset.
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- High degree of motivation and flexibility, self-driven and quality-focused.
- Excellent self-organization, ability to work in an autonomous environment.
- Analytical, conceptual and problem-solving attitude.
- Excellent team player
- Good knowledge of the MS Office suite.

Kepler Partners LLP is a young and successful company with ambitions and a clear focus. We offer a highly dynamic work environment following an entrepreneurial approach, a motivated team with flat hierarchies, offering the successful candidate the possibility to make a change and gain exposure to a fast growing fund management and services business.
