

We inspire  
our employees



## Compliance Specialist (m/f/d)

**Location:** Stockholm

**Start Date:** As of now

The objective of the compliance team is to deliver, coordinate and continuously develop an effective compliance management framework that provides the tools to enable FNZ to identify, assess, control and monitor conduct and regulatory risk and through that framework manage compliance & regulatory risk within the appetite of the business, our clients and regulators.

The Compliance Specialist works in the second line of defence and brings both experience and knowledge of regulatory requirements in respect of MiFID, Banking Regulations, CSDR, SRD II, EMIR, SFTR, AML and GDPR, as well as specific jurisdictional expertise for the European region.

Their practical experience and achievements in similar roles will demonstrate their ability to provide oversight of the regulatory risk environment in the Nordic and European region and their ability to challenge the business across the core elements of the compliance management framework. While FNZ is a technology business, the role requires wider financial services industry and Nordic regional experience, ideally within a fast-paced regulated environment with exposure to multiple regulations.

The role will support the implementation and maintenance of the Compliance Management Framework to support FNZ's business plan and the regulatory environment it operates in. This includes provision of oversight of the application of regulatory compliance policies and procedures, executing the compliance monitoring plan, monitoring, and reporting on compliance with MiFID, AML, Financial Crime and GDPR regulations.

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## Tasks

- Act as subject matter expert within the FNZ Brokerage & Custody compliance team regarding securities offerings and leading regulatory compliance oversight of such offerings within Europe
- Partner with the Nordic and European business including the Sales team to provide a commercial, focussed approach to Compliance – supporting controlled, compliant growth
- Partner with the wider FNZ group Compliance team in implementing any regulatory change initiatives or projects that affect business lines
- Assist with wider FNZ compliance initiatives and training requirements
- Support the development and execution of the FNZ Compliance Monitoring programme in Europe
- Investigate ad hoc issues assigned by the local FNZ Head of Compliance or raised by the business or global team
- Maintain current knowledge of relevant global and local government regulatory and corporate governance standards
- Execute directives from the local FNZ Head of Compliance
- Play a critical role in the successful execution of the Company's compliance mission
- Provide local support in the investigation of any reports of suspicious transactions made to FNZ MLRO specific to the Nordic and European region and ensure any necessary reports in connection with FNZ's AML obligations are made to the relevant agencies
- Ensure up to date and accurate policies and procedures for the supported business lines



## Qualifications

- In-depth knowledge of the European financial services and regulatory framework MiFID, Banking Regulations, CSDR, SRD II, EMIR, SFTR, AML and GDPR

- In-depth knowledge of Equities and Equity Derivatives trading and relevant regulatory requirements
- Specific jurisdictional expertise for the Nordic and/or European region and experience of liaising with local Regulators
- 5-10 years' experience working at a relevant level within a regulated environment
- Experience of front office and back-office investment operations functions an advantage
- Excellent communication, relationship management and influencing skills
- Presentation skills and training / coaching experience
- Ability to understand and articulate the commercial benefits of effective compliance management
- Ability to build and maintain effective internal and external relationships
- Ability to analyse, present and report risk management information to senior stakeholders
- All communications at FNZ are in English. Proficiency in the Swedish language is required. Any additional language skills are an advantage



## Benefits

- Remuneration and career advancements
- Flexibility in working hours
- Working with purpose and making an impact together
- Global opportunities at any of our offices in the UK, US, Czech Republic, Australia, New Zealand or Asia

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# FNZ More about us

The FNZ Bank SE offers comprehensive services in the custody business as well as financial portfolio management and the deposit business, among others. As one of the leading B2B direct banks in Germany, ebase manages assets of around 60 billion euros for more than one million customers. IFAs-Organisations, insurance companies, banks, asset managers and other companies use ebase's multi-client solutions for custody and account management for their customers.

Since 2019, FNZ Bank SE has been part of the FNZ Group and is actively helping to realise the Group's mission to open up wealth by giving people more freedom to invest in what matters to them. FNZ currently manages more than US\$1.5 trillion in client assets on its platform for over 20 million investors worldwide and employs over 5,000 people globally in Europe, North America and Asia Pacific.

Find out more about ebase on **our website**.

