

POLARIS Investment Advisory AG is a Zurich-based placement agent specialized in marketing and business development for investment managers within liquid alternatives and private markets. Since 2008 we support our partners with a proven and dedicated edge in their market entry, fundraising and client focused after-sales activities with institutional investors in Europe. We work with an exclusive group of asset managers worldwide selected through an in-depth due diligence process supported by our senior advisors and external investment consultants.

We are currently in the process of setting-up a fully MIFID II regulated affiliate in Vaduz (Liechtenstein) and are therefore looking with immediate effect for the POLARIS Group a

Chief Operating Officer (w/m/d) 80%-100%

The candidate serves as COO responsible for Legal, Compliance and Operations. As such the candidate will be in charge for establishing internal strategies, policies, procedures, processes, technology, and programs to prevent violations of law, rule, or regulation with a focus on cross-border fund distribution and design and deliver a risk management framework that maintains risk levels within the firm's risk appetite and protects the franchise.

The primary place of work will be in Vaduz with flexibility to work from home or from the Zurich office from time to time.

Responsibilities:

- Further development and maintenance of the Compliance control environment
- Further development and maintenance of the Risk Management control environment
- Further development and maintenance of other internal policies and procedures
- Responsibility of the tasks within the framework of the data protection law (GDPR) and the due diligence law (DDA)
- Identify potential risks and design the respective controls (e.g. description of control scope and content) with regard to various businesses and processes (e.g. cross-border activities, staff dealing, intermediaries)
- Perform periodic controls or risk assessment within the given control environment (e.g. cross border activities with investors and prospects, monitor regulatory approvals of funds on the POLARIS platform in various jurisdictions, etc.)
- Document the investigations and their results accordingly and escalate potential findings
- Initiation of remedial actions and tracking their timely resolution in collaboration with client-facing staff and business support functions.
- Prepare periodic reports for the attention of Management, the Board of Directors as well as the Supervisory Authorities (e.g. FMA)
- Prepare and conduct Compliance & Management Meetings, maintain related documentation and coordinate follow-ups
- Keeping abreast of regulatory changes, new regulations, and internal policy changes in order to further identify new key risk areas
- Advise employees on compliance relevant topics
- Draw up and negotiate distribution contracts with new/repeat POLARIS partners (Asset Managers/GPs)
- If necessary, take care of customer complaints management and escalation
- Additional duties as assigned

Education and Qualification:

- Strong legal and/or compliance background (law degree favorable)
- Knowledge of Compliance laws, rules, regulations, risks, and typologies
- A minimum of 3-4 years' experience in either compliance, risk management, risk control or audit in the financial industry
- Team player, problem solving minded and with a pro-active personality
- Ability to handle differing complex situations and variable problems
- Proficient in English and German (written and spoken)
- Strong organizational skills and ability to meet deadlines
- Reliable and accurate attitude committed to deliver high quality standards

We are looking forward to your application by email to: evelyn.hilpold@polaris-investments.ch

Please find more information about POLARIS and the strategic partners we currently work with on our homepage www.polaris-investments.ch.