

POSITION SUMMARY

AEW Asia Compliance Officer

The Monetary Authority of Singapore expects AEW Asia Pte. Ltd. (“AEW Asia”) to have in place compliance arrangements that are commensurate with the nature, scale and complexity of its business. While the ultimate responsibility for compliance with applicable laws and regulations rests with AEW Asia’s CEO and board of directors, the candidate will manage the various legal and regulatory matters relevant to AEW Asia.

The successful candidate will report to the Chief Compliance Officer of AEW Capital Management, L.P. (“AEW US”), AEW Asia’s parent company, and will work with AEW US’s Legal and Compliance Team to on oversight of internal control, compliance and risk management activities across the Asia Pacific region. Specific responsibilities will include:

- Serving as the primary contact for the MAS in relation to compliance matters;
- Quarterly reporting to MAS, as well as ongoing reporting to other Singapore governmental bodies;
- Oversight of MAS registered representatives including reviewing and confirming accuracy of Form 15 filings for registered representatives and monitoring other requirements of registered representatives;
- Development and implementation of periodic compliance training and education programs;
- Annual and on-going review of compliance policies and procedures to help identify areas of future oversight focus;
- Interact with regulators, accounting firms, auditors and other consultants in the performance of regulatory and other reviews;
- Developing appropriate familiarity with regulatory requirements applicable in the Asia Pacific region with particular focus on Singapore, Hong Kong, Japan, Australia and Korea;
- Review of client onboarding documentation, including foreign account tax compliance act (FATCA), automatic exchange of information (AEI) requirements, investor suitability, subscription agreements, side letters, investment management agreements and related compliance tracking and record keeping;
- Ongoing management of AEW Asia’s know your client (KYC) and anti-money laundering (AML) program to account for MAS requirements;
- Supporting AEW’s Investor Relations teams to monitor various client-specific gift and entertainment requirements and policies, applicable country and municipal “pay to play” policies, political laws and regulations;
- Review client requests (RFIs) and AEW Asia marketing materials to ensure compliance with AEW’s internal policies as well as global regulatory requirements applicable to AEW;
- Oversight of Singapore’s Personal Data Protection Act (PDPA) requirements;
- Manage process for collecting and reviewing duplicate broker statements for all Access Persons under AEW’s Code of Ethics;
- Assist with ongoing compliance monitoring of the Asia Pacific real estate listed securities portfolio including review of IPO or secondary offering documentation to determine client eligibility and oversee fair valuation reporting for the region;
- Assisting with the completion of required legal and regulatory reporting globally; and
- Conducting special projects/analyses on an as-needed basis.

QUALIFICATIONS

This role requires a motivated professional who has strong legal, compliance and MAS regulatory experience in the investment management industry. Preference will be given to candidates with the following characteristics:

- At least 5-7 years of relevant compliance experience at an investment advisor or investment fund complex;
- Prior experience with internal control, compliance and risk management activities;
- Strong knowledge of MAS rules and regulations;
- Strong communication and interpersonal skills;
- Excellent drafting skills;
- Ability to communicate effectively with senior management;
- Self-starter and highly organized individual able to work well in a deadline driven environment; and
- “Team player”