



Joining Mirabaud, means entering an entrepreneurial and innovative environment. With the 7th generation of the Mirabaud family working within the bank, the culture is that of a family business. With over 750 employees based in 10 countries worldwide, Mirabaud offers opportunities to develop one's career across an international network of 16 offices.

# Compliance Manager / Deputy MLRO

## *Mirabaud Asset Management - London*

### A day in your future job:

- Compliance monitoring : undertake daily, periodic and third party oversight with support of Compliance Assistant;
- Contribute to the review, development implementation and management of a risk responsive Compliance / Financial crime / CASS "Limited Assurance" programme including specifically Best Execution, Fair Allocation and Market Abuse;
- Ensure findings following testing of the compliance monitoring programme are documented and followed up in a timely manner;
- Identify and monitor risks that Mirabaud Asset Management (MAM) UK faces and suggest ways to mitigate these risks including Conflicts of interest;
- Assist in enhancing current compliance monitoring statistics (MI) as both a management tool and as a mechanism to identify potential increases / decreases in the risks MAM faces (amending the compliance monitoring programme where necessary);
- MI-Reporting : provide data and design reports for inclusion in Board/ExCo/Committee Reports; and for specific Management Committees and any related Regulatory components including HMT/OFSI and HMRC;
- Policy : institute appropriate Group originated and UK Regulatory practice standards via involvement in ad-hoc compliance projects and related policy initiatives (such tasks may incorporate a modest degree of travel (e.g. to Geneva HQ and also other MAM UK foreign interests that support or are in turn supported by London) to assist with oversight and monitoring obligations. To train other staff and to understand local operating practice in the context of the wider operating requirements of Mirabaud Group's AM Division;
- Be aware of and understand the rules and regulations relevant to your position in the context of the Compliance function as the Firm's second line of defense;
- Be aware of and consider the impact of Principles 6 & FCA Treating Customers Fairly outcomes, Client's best interests and Principle 12 Customer Duty in respect of all activities undertaken;
- Deputy MLRO : to deputize for the MLRO as required in mitigating and resisting any Financial Crime elements including development of effective Anti-Money Laundering and Counter Terrorist Financing initiatives. Be aware of your obligations in preventing Mirabaud being used to further financial crime, in particular money laundering, terrorist financing, bribery, corruption, and market abuse and to report any suspicions or suspicious activity to the Money Laundering Reporting Officer or in his absence, or the relevant Compliance Officer, where abuse is suspected.

**Your assets to succeed:**

- University Degree;
- Proven priori “hands-on” monitoring experience at Senior Analyst level, KYC/Financial crime, client service regulatory project and policy work working within a small generalist Compliance Department/Risk/Internal Audit management function across a broad spectrum of institutional Buy-side and/or retail Wealth Management issues;
- Competent user of MS Word, Excel, Publisher, PowerPoint and advanced Bloomberg (BTCA/CMGR) experience and plus additional software where relevant.
- Excellent analytical skills and a questioning mind / self-starter and team player probably developed within an investment boutique environment.

**Jump on the boat!**

- Family-friendly and dynamic environment;
- Direct impact on the business, no matter your position or seniority;
- Work in an environment that encourages autonomy and entrepreneurship;
- Flexible working arrangements to help you achieve a better work-life balance;
- Variety of cultural and sporting activities during your free time;
- Inclusion and equal treatment;
- Various employee benefits & family friendly benefits.

**Apply now: [recrutement@mirabaud.com](mailto:recrutement@mirabaud.com)**

**Notes:**

*Only candidates with a suitable profile will receive a response, thank you for your understanding.*