



**Mirabaud is an international banking group** that provides a clientele of private and institutional investors, companies and finance professionals with highly customised investment, private banking and asset management services.

**Headquartered in Geneva**, Mirabaud has evolved steadily over the years and now employs over 700 staff who, through their experience and expertise, perpetuate the entrepreneurial spirit that has guided the bank since its foundation in 1819. The Group now conducts its **Wealth Management, Asset Management and Securities** businesses in the main financial centres around the globe and has offices in Switzerland, the UK, Luxembourg, France, Spain, Italy, Canada, the United Arab Emirates, Brazil and Uruguay.

**Mirabaud Asset Management** is the high conviction asset management arm of Mirabaud. We provide a focused and specialized range of investment solutions to institutional and wholesale investors on a global basis. Our values are Independence, Conviction, and Responsibility. Our offices are located in Geneva, Zürich, London, Paris, Madrid, Luxembourg and Milan.

Our London Compliance Team within Mirabaud Asset Management is looking to add a:

## COMPLIANCE MANAGER (12-month Maternity Leave Cover)

As part of the Mirabaud Asset Management Compliance Team, based in our London Office, the Compliance Manager will work with the Head of Compliance (London), the Head of Legal & Compliance (Geneva) as well as other senior management, to ensure timely and accurate compliance and anti-financial crime monitoring and reporting as determined to be appropriate for Mirabaud Asset Management Limited (“MAML”) and its Group affiliates in the UK and overseas.

The role is a 12-month maternity leave cover and will be part of a team of three, based in our office near Victoria. There is scope and opportunity to also work on group projects, working closely with Compliance & Legal colleagues in Geneva, Paris & Luxembourg.

### Main responsibilities:

- **Compliance:**
  - Using your strong knowledge of FCA rules, regulations & requirements, as well as your understanding and awareness of wider European regulatory framework, you will act as the MAML’s dedicated “second line of defense”.
  - Using your knowledge and experience to consider and advise on the impact on the six Treating Customers Fairly outcomes and Clients’ best interests in respect of all activities undertaken;
  - Using your awareness of obligations in preventing financial crime (money laundering, terrorist financing, bribery and corruption and market abuse), report any suspicions or suspicious activity to the Money Laundering Reporting Officer or in his absence other senior management designated by MAML or the relevant Compliance Officer of MAML affiliates, where market abuse is suspected;



- **Compliance Monitoring;**
  - Undertake daily, periodic and third party oversight with support of the Compliance Analyst;
  - Assist in the review, development and implementation of a risk-based compliance/financial crime monitoring programme including specifically Best Execution, Fair Allocation and Market Abuse; reviews utilising Bloomberg AIM, Bloomberg BTCA and other related monitoring tools;
  - Document and follow-up on findings of the compliance monitoring programme;
  - Enhance current compliance monitoring statistics (MI) as both a management tool and as a mechanism to identify potential increases and decreases in the risks MAML faces (amending the compliance monitoring programme where necessary);
- **Risk Monitoring;**

Identify, monitor and report risks that MAML face, whilst suggesting ways to mitigate these risks including Conflicts of Interest;
- **Reporting**

Provide data and written reports for inclusion in Board Reports; Management Committees (i.e. Investment Management & Operations Committee, Broker Execution and Appointments Committees) and any related FATCA components to HMRC in compliance with IGA1 requirements;
- **Projects**

Involvement and management of ad-hoc compliance projects and related policy work in relation to MAML, and also working with the Head of Legal & Compliance to deliver projects in relation to the wider MAM business line;
- **Training**

Train and educate MAML employees and new joiners to help build awareness and understand local operating practice in the context of the wider operating requirements of Mirabaud Group's AM Division;

### **Candidate profile:**

- Educated to Degree level, or equivalent experience;
- 5 to 10 years' experience in a similar role, within a UK Asset Management organisation;
- Proven monitoring experience, specifically in KYC/financial crime, client service regulatory project and policy work;
- Competent user of Microsoft Word, Excel, Publisher, PowerPoint and Bloomberg (BTCA/CMGR);
- Strong control room and surveillance skills;
- Organised, structured, with strong analytical skills and a questioning mind;
- Great sense of integrity;
- Self-Starter / Team player with excellent verbal and written communication skills;
- Ability to work autonomously but also able to raise issues when necessary;
- Fluent English, French would be advantages



**Mirabaud Group is an Equal Opportunity Employer.**

If you are interested in this role, please send your application via email to the following address:

[recrutement@mirabaud.com](mailto:recrutement@mirabaud.com)

If you would like to **pursue a career within the Mirabaud Group**, please send us your CV to the same email address.

Notes:

Please be aware that Introductions from recruitment agencies will not be considered.

Only candidates with a suitable profile will receive a response.