



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.

Based 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 and Brazil.

**Our Compliance team within Mirabaud Securities Limited is looking to add:**

## COMPLIANCE OFFICER

### Primary functions :

- Development and implementation of a risk-based compliance monitoring programme. Perform periodic monitoring, thematic reviews and transactional surveillance of the firm and its businesses;
- Escalation, recording and remediation of findings;
- Manage junior members of the team to deliver this outcome;
- Work with team members to identify Compliance risks and to assist with the design and implementation of effective controls;
- Collation, production and assessment of Compliance management information (MI) to identify areas where enhancement are required to the risk controls;
- Assist with the development, implementation and performance of all necessary Compliance risk frameworks (such as best execution, market abuse, CASS, conflicts of interest, inducements, post-trade transparency etc.);
- Assist with the preparation and the drafting of responses to any regulatory requests;
- Attending member of the Quarterly Best Execution Committee and CASS Quarterly Committee. Represent Compliance in any other governance committees and working groups as and when required;
- Supervise and mentor junior members of the team on matters related to Compliance monitoring and general Compliance duties;
- Any other duties which may be required consistent with your role.

### Qualifications :

- Proven prior experience working within a Compliance Department;
- Educated to degree level or equivalent experience;
- Competent user of Microsoft Office suite, strong IT skills advantageous;
- Ability to troubleshoot technology issues;
- Excellent analytical skills with a questioning mind;
- Team player, strong communication and interpersonal skills, and ability to work under pressure and to prioritise;
- Self-starter with the ability to show initiative;
- Honesty and integrity, innovative idea generation;
- Attention to detail and accuracy;

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.