

Compliance Analyst

We are looking for a Compliance Analyst to join our Compliance & Legal team based at our London office to cover Maternity Leave and on a part time basis, there may occasionally be some travel to attend relevant meetings, generally in the UK. The role involves hybrid working at least two days office based.

The successful candidate will support Compliance with enforcing the rules and regulations of the FCA and associated regulators, particularly in relation to the production and approval of Marketing materials and Fund Product Documentation; and facilitating best practice. They will also provide general support to the COO and Head of Compliance & Legal, and have the ability to provide effective cover for other areas within the Compliance team - e.g. breach reporting/analysis, CASS etc.

If you are interested in the role, please send your CV (together with details of current salary) to:

Emma Burgess, HR Associate
HR@premiermiton.com



Premier Miton's purpose and values

To actively and responsibly manage our clients' investments for a better financial future

Dedicated

Passionate

Responsible

Independent

Collegiate

Principal Responsibilities / Deliverables

Responsibility	Associated Tasks / Deliverables
Financial Promotions	<ul style="list-style-type: none"> • Review and approve retail and investment professional fund marketing materials, including RFPs, presentations, factsheets, brochures, web content, video and email marketing content in adherence with the FCAs rules and finalised guidance • Provide timely and constructive feedback to Marketing following review of marketing material ensuring that required amendments are made • Maintain up-to-date knowledge of the regulatory requirements applicable to the review and approval of marketing material • Assist with the Compliance Monitoring programme in relation to business approved marketing material and website content. • Assist in the provision of accurate and timely management information where required
Compliance	<ul style="list-style-type: none"> • Engage with the Head of Compliance and Compliance Manager in maintaining the compliance relationship, including supporting open and proactive dialogue, with Marketing, Sales, Front Office, Investment Middle Office, Operations and Risk • Support the facilitation of the Company's training programme • Assist in the design, implementation and periodic review of the Company's Compliance-related policies and procedures • Provide support to the Product Change Manager in the preparation of Product Documentation and timely and accurate filings to the regulator.
General	<ul style="list-style-type: none"> • Maintain personal awareness of the FCA's 6 Treating Customers Fairly Consumer Outcomes to ensure customers and/or funds are being treated fairly • Maintain awareness of FCA Guidance, including by reviewing regulatory bulletins etc. • Carry out all duties, along with any non-core duties as may be reasonably required by the management team, in a timely, efficient manner and with good will • Engage unequivocally in upholding Premier Miton's Values (Dedicated, Passionate, Collegiate, Independent & Responsible) and in our aim of creating a highly regarded brand, a first-class resource for our investors, and a genuinely agreeable place to work
Individual Conduct	<ul style="list-style-type: none"> • Act with integrity. • Act with due care, skill and diligence. • Be open and co-operative with senior management and if required the FCA. • Pay due regard to the interests of customers and treat them fairly. • Observe proper standards of market conduct.

Education, Experience, Skills and Abilities

	Essential / Desirable
Education / Qualification <ul style="list-style-type: none"> • Educated to GCSE or degree level or equivalent • Relevant CISI Qualification 	E E
Experience / Knowledge <ul style="list-style-type: none"> • At least 2 years of Financial Promotions experience in Asset Manager 	E
Skills <ul style="list-style-type: none"> • Solid understanding of the UK financial promotion regime under FSMA • Experience of using Dot Approve • Team player with a positive, results orientated approach; • Communication skills with the ability to communicate effectively – both written and verbally at all levels, including drafting ability. • Strong Interpersonal skills; • Ability to prioritise workload and adhere to deadlines; • Demonstrable / Problem Solving and analytical skills. • Ability to demonstrate tact and diplomacy when coping with difficult situations; • Good administrative and personal organisational skills; • Good report writing and minute taking skills; • Good numeracy skills, including some accounting knowledge • Good IT skills/ability to use Microsoft Office and Excel (to at least Intermediate level) 	E E D E E E E E E E E E E
Characteristics <ul style="list-style-type: none"> • Ability to work under considerable pressure and adhere to strict timescales • Attention to detail 	E E

Other Information

On the job training will be provided, as required.

The role will need to be flexible in terms of current business needs as determined from time to time and will be regularly reviewed.

Some travel required to attend relevant meetings, generally in the UK