

## Company Overview

Premier Miton is a genuinely active investment manager offering a range of funds and investment trusts, as well as a portfolio management service, covering equity, fixed income, multi asset and absolute return investment strategies. We have approximately 160 employees split across our London and Guildford offices, with hot desks available our colleagues spend time in both offices which gives great exposure to all parts and levels of the business.

Our culture defines how we aim to work in an ethical and constructive way to meet our objective of acting responsibly and doing a good job for our clients and other stakeholders. All our employees sign up to a code of ethical and professional conduct which means they are expected to conduct themselves with integrity and honesty in an open and transparent manner and support our core values.

## Compliance Monitoring & Surveillance Analyst

We are looking for a **Compliance Monitoring & Surveillance Analyst** to join our Investment Services team, based in our London office.

Provide compliance support to the Premier Miton regulated entities through the timely completion of risk-based monitoring and surveillance as directed by the Compliance Monitoring Manager in accordance with the Compliance Monitoring Plan, in particular, Market Abuse, Financial Crime and Order Handling and Execution. The role also includes cover for the Compliance Advisory team and general support to the Director of Compliance & Legal, and Chief Operating Officer, and the ability to provide effective cover for other areas within the wider Compliance Team, as required.

If you are interested in the role, please send your CV together with details of your Right to Work in the UK to:

[recruitment@premiermiton.com](mailto:recruitment@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

# Job Description

## Key responsibilities

Responsibility	Associated Tasks / Deliverables
Monitoring and Surveillance	<p>Assist with the timely completion of Premier Miton's Compliance Monitoring Programme, conducting monitoring and surveillance checks of the front office and wider business to identify and escalate any incidents, errors, and breaches. Recording, and tracking to resolution any associated Compliance Actions. Including, but not limited to the areas of:</p> <ul style="list-style-type: none"> <li>○ Market Abuse Trade Surveillance</li> <li>○ Electronic Communications Surveillance</li> <li>○ Personal Account Dealing</li> <li>○ Order Execution, Allocation and Aggregation</li> <li>○ Financial Crime</li> <li>○ Disclosure and Transparency Reporting and Takeover Panel notifications.</li> </ul> <p>Provide real time support to the Compliance Advisory Team in the areas of:</p> <ul style="list-style-type: none"> <li>○ Market Soundings and Restricted Lists</li> <li>○ Investment Mandate and Investment and Borrowing Compliance</li> <li>○ Issuer Enquiries</li> </ul>
Reporting	<ul style="list-style-type: none"> <li>● Accurate and timely preparation of MI and Reports to the Head of Compliance Monitoring, and Head of Compliance Advisory, summarising analysis, and findings.</li> </ul>
Error/Breach Recording & Escalation	<ul style="list-style-type: none"> <li>● Ensure that all incidents are escalated and recorded timely through the appropriate internal mechanism, and that remedial action is undertaken and completed as appropriate.</li> </ul>
Support of Committees	<ul style="list-style-type: none"> <li>● Performing ad-hoc secretarial duties for in-house committees.</li> <li>● Production of regular/ad-hoc reports to relevant Committees, as required.</li> </ul>
General Compliance Support	<ul style="list-style-type: none"> <li>● General support to the Head of Compliance Monitoring, Head of Compliance Advisory, Chief Operating Officer and Director of Compliance &amp; Legal, as required.</li> <li>● Provision of open and proactive dialogue, with key business stakeholders.</li> <li>● Research connected with new products or projects as required.</li> <li>● Assist with the day-to-day management of agreed projects.</li> <li>● Maintain a strong understanding of changes in regulatory requirements.</li> <li>● Assist to continuously develop the monitoring/surveillance programme and methodology.</li> <li>● Maintaining up to date desk-based procedures.</li> <li>● Timely completion of Regulatory training.</li> <li>● Promote a culture of compliance.</li> </ul>

Individual Conduct	<ul style="list-style-type: none"> <li>• Act with integrity.</li> <li>• Act with due care, skill and diligence.</li> <li>• Be open and co-operative with the FCA.</li> <li>• Pay due regard to the interests of customers and treat them fairly.</li> <li>• Observe proper standards of market conduct.</li> <li>• Act to deliver good outcomes to retail customers.</li> </ul>
Other	<ul style="list-style-type: none"> <li>• Any other responsibilities as required from time to time.</li> </ul>

## Education, experience, skills & abilities

Education / Professional Qualification	<ul style="list-style-type: none"> <li>• Educated to degree level or equivalent (ideal but not essential).</li> <li>• Relevant professional qualification (ideal but not essential).</li> </ul>
Experience / Knowledge	<ul style="list-style-type: none"> <li>• Proven experience of working in monitoring/surveillance within the financial services industry.</li> <li>• Comprehensive knowledge of regulatory standards within the FCA handbook (specifically COBS and COLL rules).</li> <li>• Strong IT literacy skills, able to navigate a variety of databases, systems, and data reports, particularly Microsoft Excel.</li> <li>• Technical experience working with Bloomberg (AIM and BTCA).</li> <li>• Proven ability to work in a fast-paced, challenging environment whilst maintaining a consistent quality and accuracy.</li> </ul>
Competencies / Skills	<ul style="list-style-type: none"> <li>• Effective communication, written and verbal.</li> <li>• Strong time management and organisation.</li> <li>• Analytical, logical, and systematic.</li> <li>• Problem solving and responsible decision making.</li> <li>• Strong Morals and Integrity.</li> </ul>
Characteristics	<ul style="list-style-type: none"> <li>• Trustworthy, honest, diligent, punctual, and reliable.</li> <li>• Flexible, adaptable, and resilient.</li> <li>• Credible, tactful and diplomatic.</li> <li>• Motivated, responsible and accountable.</li> <li>• Independent and collaborative.</li> </ul>