

## Janus Henderson Job Description

**Corporate Title:** Head of Regulatory Risk Assessment and Review

**Department:** Risk and Compliance

**Reporting Line:** Head of EMEA Compliance

**Location:** London

**Regulated Role:** No

**In-scope of Knowledge & Competence (MiFID II):** No

### The Company

Janus Henderson Investors is a leading independent global asset manager, dedicated to delivering the best outcomes for clients through a highly diversified range of actively-managed products.

We support our individual and institutional investors across a range of products, encompassing equities, fixed income, multi-asset and alternatives.

We are a team of independent and creative thinkers who work tirelessly to help our clients achieve their goals – and we do it by supporting a high-energy and collaborative culture that ensures our people love the place they work.

Janus Henderson is a truly global manager with US\$328.5bn<sup>1</sup> of assets under management. We have a diverse geographic footprint, employing over 2,000 staff in 27 office locations globally. Headquartered in London, we are dual-listed on the New York Stock Exchange and the Australian Securities Exchange.

<sup>1</sup> *Janus Henderson pro-forma AUM as at 31 December 2018*

### The Department

The EMEA Compliance team comprises approximately 40 employees who oversee all of Janus Henderson's business activities in UK, Europe, Middle East and South America. The department forms part of a global Compliance function and works closely alongside teams in Denver and throughout Asia including significant teamwork and joint use of systems and policies.

The mission of the Compliance Department is to promote and encourage adherence to the regulatory obligations and rules to which Janus Henderson management and staff are subject. The aim is to assist the group in developing a culture where its business is conducted within both the letter and spirit of the applicable laws and regulations in the interests of our customers and to minimize the risk of reputational damage or regulatory sanction. In achieving these objectives we will maintain relationships with our regulators, provide advice and mentorship to our business partners, monitor the activities performed by the group and provide training when required.

Specific departmental functions are:

- Providing training on regulatory issues;

- Monitoring, assessing and reporting on business conduct and adherence to applicable regulations;
- Advising on the continual development of appropriate procedures to manage and mitigate regulatory risk; and,
- Managing our external relationship with regulators.

### Overview of the Role

You will sit within the EMEA Compliance team, reporting directly to the Head of EMEA Compliance.

You will manage a team responsible for undertaking a range of thematic reviews, regular testing and transaction/communication monitoring across Janus Henderson, with an initial focus on EMEA.

### Duties and Responsibilities

- Ownership of the Regulatory Risk assessment methodology and ongoing refresh
- Preparing and managing a risk-based (and possibly global depending on the role's remit) monitoring and oversight plan, and ensure that all planned work is delivered on time and is of appropriate quality;
- Leading targeted or thematic reviews of business areas, third party administrators and other outsourced providers (e.g. investment managers);
- Reporting progress against the plan and findings to meaningful stakeholders and governance fora;
- Working with senior stakeholders across Risk and Compliance, and other members of the business who undertake some aspect of monitoring (global, where necessary) to develop and document plan, and arrange resources to execute against it;
- Sourcing and managing appropriate co-sourcing arrangements with expert external suppliers to supplement the Janus Henderson skill set as required;
- Engaging with Internal Audit and Enterprise Risk to ensure there is a 'joined up' approach to delivering reviews of business activities, and where appropriate, provide combined assurance;
- Leading a team of three additional resources to deliver the monitoring and oversight plan; and
- Ensuring the team receives appropriate training on emerging monitoring, oversight and surveillance techniques.

### Supervisory Responsibilities

- 3 Associates

### Technical Skills and Qualifications

- Significant experience in a relevant role
- Experience of creating and delivering risk-based monitoring and oversight plans (potentially on a global basis)
- Extensive risk management and regulatory compliance knowledge within the asset

management industry, including a deep understanding of UK and other international regulatory requirements.

- Experience of managing a team
- Knowledge of current and emerging regulatory compliance 'hot topics' and emerging market trends, methods and tools in respect of monitoring & oversight
- Good IT skills, including PowerPoint, Excel
- Relevant professional qualifications (e.g. risk management, compliance).
- Graduate preferred

### Competencies Required

- Self-starter
- Excellent interpersonal skills, both written and oral, with the ability to communicate effectively at all levels
- Ability to build and maintain relationships internally and externally
- Good planning, organizational and prioritization skills, and ability to assist team members with this as necessary
- Ability to meet tight deadlines and work in a pressurized environment
- Ability to lead and motivate team members

Ongoing competence in the role to be assessed by:

- Annual Performance Appraisal
- Completion of all assigned Compliance training
- Annual Attestation (Knowledge and Competence in-scope roles only)

### Compliance Requirements

At a minimum the role will require you to:

- Place the interest of Janus Henderson's Clients first and always act in accordance with TCF (Treating Customers Fairly) principles
- Understand and follow laws and regulations applicable for your role, seeking the help of your supervising manager or Compliance if you would like further explanation or direction regarding this
- Understand and abide by all Janus Henderson policies applicable to your role, and ask for the support/guidance of the policy owner if you are unsure at any time
- You are ultimately accountable for your actions and responsible for seeking further information on any or all of the above as necessary.

**We are an equal opportunity / Affirmative Action employer.** All applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, disability or veteran status.