

Janus Henderson Job Description

Corporate Title: Assistant Manager, Compliance
Department: Compliance
Reporting Line: Compliance Manager, Distribution
Location: UK
FLSA (U.S. only): N/A
Regulated Role: 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\$357.3bn¹ 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.

¹ *Janus Henderson pro-forma AUM as at 31 March 2019*

The Department

The Compliance Department comprises approximately 40 employees who oversee all of Janus Henderson's business activities in UK, Europe, the Middle East and South America. The department works closely alongside teams in Denver and throughout Asia including significant collaboration and joint use of systems and policies.

The mission of the Compliance Department is to enable Janus Henderson to operate in a compliant fashion and acting in the best interests of our clients. This is accomplished through:

- Embedding the firm's culture and values;
- Helping to detect and prevent regulatory violations;
- Identifying, assessing and mitigating risks;
- Managing and influencing regulatory change; and
- Providing advice and partnership to meet regulatory expectations.

Overview of the Role

You will support the Compliance Manager, Distribution in delivering high quality advice and regulatory support to JHI Operational functions. You will build strong working relationships with Operational teams meeting their need for regulatory interpretation and advice on all areas of Fund operations.

Responsibilities will include (but are not limited to):

- Overseeing the breaches and complaints interaction and reviewing MI and root cause analysis produced by JHI Operations and third party administrators;
- Trustee and Depositary liaison;
- Third Party Administrator oversight, alongside JHI Operations;
- Assistance with CASS matters;
- Oversight, advice and reporting of pricing errors;
- Assistance with board reporting

Technical Skills and Qualifications

- Good working knowledge of asset management and the Funds industry;
- Good knowledge of regulatory environment in UK and Europe;
- Sound understanding of market practices and principles, with a particular focus on Fund Operations;
- Good IT skills, including PowerPoint, Excel.

Competencies Required

- Some experience gained in a similar role or working at a Funds Transfer Agent or Valuation and Pricing organization;
- Excellent interpersonal skills, both written and oral;
- Ability to build and maintain relationships internally and externally;
- Good planning, organizational and prioritization skills;
- Ability to meet tight deadlines and work in a pressurized environment;
- Self-starter.

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.