

## Janus Henderson Investors Job Description

**Role:** Compliance Apprentice (18 Month FTC)  
**Location:** London  
**Department:** Risk and Compliance

### The company

We are a leading independent global asset manager, dedicated to delivering the best outcomes for our clients through a highly diversified range of actively-managed products. We are truly global, supporting our individual and institutional investors across a range of products, encompassing equities, fixed income, multi-asset and alternatives. We build client trust by being dependably excellent in all things, and we put the client at the heart of everything we do. Our high-energy and collaborative culture at Janus Henderson helps our client achieve their goals and ensures that our people love the place they work.

### The department

The Risk and Compliance function comprises Financial Risk, Operational Risk, Business Continuity and Resilience and Compliance. It forms the second line of defence in the firm's global risk management framework and aims to champion a culture of risk and compliance throughout the organisation. The function effectively partners with the business to ensure that everyone complies with our external regulatory requirements and expectations, and internal policies and procedures.

The Function aims to keep the firm abreast of all regulatory obligations, changes and developments within a rapidly changing regulatory landscape, as well as becoming a trusted adviser in financial, operational and regulatory risks and the controls that are in place to mitigate against these.

### Overview of the role

This role is a Level 3 Risk/Compliance Apprenticeship which is a work based qualification combining practical training in a job and study. The apprenticeship is a 18 month fixed term contract. Full on the job training is provided by Janus Henderson, with a full apprenticeship package delivered by Fitch Learning in the workplace.

You will sit within the EMEA Compliance team, reporting to the Manager, Regulatory Risk Assessment and Review You will be part of a team responsible for undertaking regulatory risk assessments and performing compliance monitoring across Janus Henderson.

### The Investment20/20 programme

You will be also part of the wider Investment20/20 trainee community, providing you with opportunities to network with other trainees across the industry and participate in socials and industry insight events.

### Duties and responsibilities

You will:

- Perform compliance testing – verifying processes are completed in the

manner stated in policies, checking that non-complex regulations are adhered to – under the supervision of the Assistant Manager/ Manager

- Track and validate the completion of agreed upon management actions
- Escalate issues to the Manager and Head of Regulatory Risk Assessment and Review
- Collaborate with individuals within the wider Risk and Compliance department and other control functions
- Gain a CISI Level 3 Risk and Compliance professional qualification
- Carry out additional duties as assigned

### Technical skills and qualifications

- At least 5 GCSEs at Grade C (4) or above (or equivalent) including English and Maths
- Good IT skills, including PowerPoint, Excel and Word

### Competencies required

In addition to putting clients first, acting like an owner, and succeeding as a team, the competencies for this role include:

- Intellectual curiosity and aspiration to learn and develop
- Ability to communicate effectively
- Ability to work cohesively in a team
- Good planning and organizational skills

Ongoing competence in the role to be assessed, in line with applicable regulatory requirements, by:

- Annual performance appraisal
- Completion of all assigned compliance training

### Compliance requirements

At a minimum the role will require you to:

- Place the interest of Janus Henderson's Clients first, 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 additional guidance is required
- Understand and abide by all Janus Henderson policies applicable to your role, and seek support/guidance of the policy owner guidance when required
- 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.

---

FOR INTERNAL HR USE ONLY

Reporting line:	Manager, Regulatory Risk Assessment and Review
Job Code:	50044033
Date created/Revised date:	May 2021

Entity	Regime	Function	Regulated
N/A	Certification Regime	[E.g. Client Dealing/ Managers of Certified Staff]	No
N/A	Senior Managers Regime	[E.g.] SMF3	No
N/A	K&C (MiFID II)	N/A	No
N/A	FLSA (U.S. only)	N/A	No
N/A	AML Reg 21	N/A	No