

## **Trainee Compliance Assistant**

At Barings, we are as invested in our associates as we are in our clients. We recognize those who work diligently for us and reward them for personal and professional integrity, communication skills, distinct competencies and expertise in specific strategies, ability to collaborate as a team member and true dedication to the interests of our clients.

We thank you for your interest in joining the Barings team, and invite you to explore our current employment opportunities.

## **Barings Investment20/20 Placement Programme**

As a Barings Investment20/20 trainee, you will be part of the 2021 cohort of four placements across departments in the business following a 12 month programme.

You will be getting involved in a range of tasks across your department so you really get a flavour of what it is your department does, and how they work with different teams to contribute to the overall success of the organisation. To help develop your understanding of how all our departments work together, during your placement you will be working with your group on a project to solve a business problem, which you will be presenting at the end of the 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.

## **What is Compliance?**

Compliance is the department that ensures Barings is acting in accordance with conduct regulators rules and regulations. This role will teach you the tasks involved in all aspects of Compliance monitoring, from reviewing the firms trading activities, listening to recorded calls, managing incident reporting and providing reports to committees.

This department is key in working closely with other departments in implementing and maintaining new policies and procedures and carrying out monitoring activities to ensure Barings' adherence to regulations.

## **What Will I Be Doing?**

You will receive on the job training and support from colleagues for the following:

- Undertaking compliance monitoring to assist the team generally and specifically with the best execution and market abuse surveillance (this will include but is not limited to reviewing trade data utilising Bloomberg, sampling electronic communications and producing reports of any findings)
- Administering employee Personal Trading Assistant (PTA) queries and reconciling contract notes
- Help to manage and resolve client complaints liaising with Transfer Agencies on resolutions

- Assist with the managing of the breach log and provide reporting for all European regulated entities/ UK, LUX and Irish domiciled funds
- Assist with core compliance activities including gifts and entertainment, employee certifications and personal conflicts
- Assist with due diligence questionnaire and RFP responses
- Assist with the sampling and review of financial promotions
- Supporting the Financial Crime team by assisting with the Know Your Customer (KYC) process for the refresh and on boarding of clients.

## Requirements

If you've just finished your A-levels or equivalent, are interested in working in Compliance, and have the following attributes, we would love to hear from you:

- Good project management skills, detail-oriented and ability to work to deadlines
- Word, PowerPoint and Excel – foundation level
- Self-starter, who uses their initiative and learns quickly
- Team player with strong written and verbal communication skills

## How Do I Apply?

Please upload your CV **and a cover letter answering the below three questions** to our Workday portal:

- Why are you applying to us for this traineeship programme?
- What evidence can you give us that you are someone with exceptional levels of personal drive and determination?
- Tell us about the most interesting project or piece of work you have completed as part of your studies at either school or college. What did you have to do and what interested you most about it?

*Barings is an Equal Employment Opportunity employer; Minority/Female/Age/Sexual Orientation/Gender Identity/Individual with Disability/Protected Veteran. We welcome all persons to apply.*