JOB DESCRIPTION

JOB TITLE	
Position:	Senior Surveillance Officer
Department:	Regulatory Compliance
Reports to:	Head of Regulatory Compliance

JOB SUMMARY

Senior Surveillance Officer shall be responsible for the proper performance and discharge of the Company's compliance function.

DUTIES AND RESPONSIBILITIES

Senior Surveillance Officer shall be required to:

(a) perform/supervise Trade Surveillance and Monitoring across the full range of OTC and Exchange-Traded securities and derivatives with regards proprietary and client activities of the Company;

(b) manage compliance and regulatory risk (particularly Market Abuse risk (MAR), Breach of Best Execution risk, Conflicts of interest risk (including associated with personal account dealing) and Money Laundering risk) and control of the trading and associated activities, manage post-trade controls, perform surveillance reviews, review surveillance reports, conduct exceptions and suspicions investigations, develop and enhance mitigation measures and internal procedures;

(c) communicate with compliance team (both Regulatory Compliance and AML Compliance), as well as with Sales&Traders, Dealers, Operations and IT staff to work on developing and implementing trading system preventative controls (including with vendors), surveillance processes, reports and MIS controls as well as perform ongoing maintenance and reviews to ensure the continuation of controls integrity and performance;

(d) lead developing processes for escalating issues, conduct testing programs on systems and controls, develop/ enhance tracking tools as well as related policies and procedures;

(e) receive and analyze internal MAR suspicion reports (Internal STORS), conduct necessary investigations;

(f) advise personnel on MAR, Best Execution and related issues, deliver regular trainings;

(g) keep records related to MAR, Best Execution, Conflicts of interest risk (including associated with personal account dealing);

(h) make decisions on and respectively report MAR suspicions (provide STORs) to the Regulators and, where necessary, communicate with Regulators and Authorities (the role requiring excellent communication skills and in-depth knowledge of the compliance risks that impact the day-to-day operations on the trading floor and trade transactions);

(i) provide the Board of Directors of the Company with quarterly statistical reports on the results of monitoring activities performed; and

(j) where it does not interfere with the urgent tasks of Senior Surveillance Officer to support AML Compliance team in their analytical and monitoring functions and reviews.

QUALIFICATIONS

- University degree in Economics/ Finance/ Law/ Business Administration or related disciplines
- CySEC Advanced certification and AML certification shall be required
- Other related qualification certificates will be added as advantage
- Strong knowledge of CySEC and European regulations
- Minimum of 3-5 years proven experience in compliance and trade monitoring in financial services sector, preferably in a regulated investment firm
- Ability to perform under pressure in a fast-paced environment and make sound decisions, coordinate and prioritize many different tasks/projects at the same time and the ability to adapt to change and meet deadlines

SKILLS

- Excellent computer and software proficiency (MS Office), JIRA, Atrium, Confluence, SalesForce, Calypso, NTOEngine, OneTick.
- Exceptional critical thinking, problem-solving, and communication skills (both verbal and written), ability to collaborate effectively with cross-functional teams
- Good product knowledge and understanding of capital markets
- Ability to analyze complex data, and a strong attention to detail
- Good command of spoken and written English

PAY AND BENEFITS

- Pay range for the role shall be €3,500 - €4,000 gross per month.
- Medical insurance under the healthcare scheme applicable to all Company employees.
- Holiday entitlement 21 days' paid holiday in each holiday year.

Review date:	24/06/2026