

Deputy Head of Compliance, Head of Anti-Financial Crime & MLRO – SMF17 (Urgent 6-month FTC role, possible to go perm: 5-days per week in the office)

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Company: Martis Search

Location: London Area

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The Role Deputy Head of Compliance, Head of Anti-Financial Crime & MLRO – SMF17 (Urgent 6-month FTC role, possible to go perm: 5-days per week in the office) Martis Search are representing a boutique, City of London based Investment Bank to urgently hire an “SMF17 – Deputy Head of Compliance.” Our client is looking for someone who has held the SMF17 Control function before and is happy to be the SMF17 again (holding SMF17 function for a minimum of 5-years). In addition, you need to be immediately available with no holidays coming up in the next couple of months. The role is based on the Trading-floor and reports directly into their “Chief Compliance Officer” and is a small and busy team. The role will be responsible for managing x 2 others.

Candidate Profile Summary: The ideal candidate will bring a strong understanding of and prior track record in Anti-Financial Crime within an investment bank or wholesale brokerage with previous SMF17 experience. You will need to understand the Anti-Financial Crime (AFC) requirements of the company’s product set and be excited by the opportunity to join a growing business, taking the leading role to optimise the AFC function as the business continues to scale, developing company’s systems, processes and procedures as appropriate. You will need to be able to manage and engage a small team and be prepared to be hands-on when needed. Responsible for the effective and efficient design and execution of the company’s AFC framework and ensuring compliance with all applicable Anti-Money Laundering & Terrorist Financing (AML/CTF), Know Your Client (KYC), Anti-Bribery and Corruption (ABC), Sanctions laws and regulations. Designated Money Laundering Reporting Officer, Nominated Officer for the

company, SMF 17 post holder, point of contact for the FCA, NCA and other applicable authorities. Act as the Deputy Head of Compliance to support the CCO in all areas of the business. Ensure effective onboarding / ongoing due diligence processes and supporting systems. Provide timely and transparent reporting to management and board committees. Ensure AML / CTF / Sanctions / ABC / Fraud regulations, guidance and industry best practice standards are implemented. Receive and assess internal suspicion reports, and make external reports as required. Establish and maintain adequate arrangements for awareness and training of staff, as appropriate. Establish and execute an AFC business wide risk assessment, AFC compliance monitoring programme, support quality assurance with 3rd line of defence. Produce an annual MLRO report to the Board of Directors and manage AFC regulatory reports. Provide second line oversight and challenge to all first line AFC matters and reinforce the three lines of defence within the company. Required Qualifications & Experience Seasoned SMF17 post holder (minimum 5 years). Investment banking and/or wholesale brokerage experience. Technical Sanctions & AML/CTF regulatory knowledge. Ability to maintain and develop client relationships. Discretion and professionalism. Practical, reasoned and agile approach. Educated to degree level. Relevant professional qualification (e.g. ICA, CISI). Salary: Between £130 k pa - £160 k pa (dependent upon experience) plus discretionary bonus, pension, healthcare etc.

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Cross References and Citations:

- 1. Deputy Head of Compliance, Head of Anti-Financial Crime & MLRO – SMF17**
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- 2. Deputy Head of Compliance, Head of Anti-Financial Crime & MLRO – SMF17**
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