

Head of Compliance & MLRO

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Company: Compliance Professionals

Location: London Area

Category: other-general

LONDON HEAD OF COMPLIANCE & MLRO 6 MONTH FTC The Client We are assisting a great client of ours who are searching for a Head of Compliance & MLRO to join the team, holding the SMF16 & 17 Function for the firm. The client is a boutique investment bank who have a strong reputation in the emerging markets space, offering their clients a range of banking services. THIS ROLE IS A 6 MONTH FIXED TERM CONTRACT.

Responsibilities Designated Head of Regulatory Compliance & Money Laundering Reporting Officer, SMF 16 & SMF 17 registered holder, point of contact for the FCA, NCA and other applicable authorities. Ensure that the Firm complies with its regulatory requirements as a regulated business. Conduct periodic internal reviews and investigations. Maintain and enhance the existing compliance management system, including but not limited to all relevant management structures and business procedures and manuals (including the Firm's Compliance Handbook for all the firm's activities); Establish and execute an AFC business wide risk assessment, AFC compliance monitoring, programme, support quality assurance with 3rd line of defence. Ensure AML / CTF / Sanctions / ABC / Fraud regulations, guidance and industry best practice standards are implemented. Provide second line oversight and challenge to all first line AFC matters and reinforce the three lines of defence within the firm. Evaluate and assess the compliance management effectiveness and the employee practice behavior of any subsidiary company.

Your Profile: Prior experience of holding the SMF 16 and/ or 17 function. 5+ years experience in the wholesale investment banking space. Ability to commute into the city 5 days a week. Availability of less than 1 month needed. For more information please

contact Jordan White

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