



<https://www.fdcapital.co.uk/job/fractional-chief-compliance-officer-smf16-fca-regulated-wealth-management-ifa-firm/>

Fractional Chief Compliance Officer (SMF16) — FCA-Regulated Wealth Management / IFA Firm

Description

London | Fractional (1 day per week, scaling to 2) | Day rate negotiable

FD Capital is partnering with a growing FCA-authorized financial advisory firm to appoint an experienced Chief Compliance Officer on a fractional basis. The role starts at one day per week, with the potential to scale to two within around twelve months as the business grows.

This is an ideal opportunity for a seasoned compliance leader who wants portfolio-style work without the constraints of a full-time post. Our client needs someone who understands the IFA and wealth management world from the inside — from the detail of suitability and advice file checking through to organisational design, governance and board-level reporting — and who can build a scalable compliance framework that supports the firm's next stage of growth.

Responsibilities

The role

- Act as SMF16 (Compliance Oversight), owning the firm's regulatory relationship with the FCA
- Design and embed a scalable compliance monitoring programme, including advice and suitability file reviews
- Lead Consumer Duty governance and evidence good client outcomes across the advice process
- Oversee the T&C scheme, financial promotions, and conduct risk frameworks
- Build the compliance structure, reporting lines and MI needed to support growth
- Report to the Board and senior leadership, providing clear, practical regulatory guidance
- Keep the firm ahead of regulatory change and translate it into proportionate policy

Qualifications

What our client is looking for

- Demonstrable compliance experience within an FCA-regulated IFA, wealth management or financial advisory firm
- A track record of building or significantly developing a compliance function, not just operating one
- Strong working knowledge of SM&CR, Consumer Duty, COBS, suitability and the FCA Handbook as it applies to retail advice
- Experience holding or readiness to hold SMF16 (familiarity with SMF17 / MLRO responsibilities an advantage)
- The judgement to balance robust compliance with commercial, client-focused growth
- Comfortable working fractionally and able to make an impact in a focused, well-structured day

Hiring organization

FD Capital

Employment Type

Part-time

Beginning of employment

1st July 2026

Duration of employment

Perm

Industry

Financial Services

Job Location

London, South East, United Kingdom

Working Hours

9-5

Base Salary

£ 600 - £ 650

Date posted

June 10, 2026

Valid through

30.06.2026

Relevant qualifications (e.g. CISI, CII) welcomed

Job Benefits

Competitive Day Rate