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Interim Head of Compliance and MLRO (SMF16 / SMF17)

Description

Location: London, United Kingdom

Sector: FCA-Regulated Investment Management

Type: Interim / Contract

Confidential Mandate

We are supporting an FCA-regulated investment management firm undergoing a period of strategic transition and governance enhancement following a recent corporate transaction.

The firm is seeking an experienced senior regulatory professional to provide interim leadership across Compliance Oversight (SMF16) and Money Laundering Reporting (SMF17). The assignment requires an individual with deep understanding of the UK regulatory framework applicable to discretionary investment management businesses and experience engaging directly with the FCA.

This is a highly visible role suited to a pragmatic, commercially minded compliance leader capable of operating effectively within a changing environment while maintaining robust regulatory standards.

Responsibilities

Key Responsibilities

- Act as SMF16 Compliance Oversight and/or SMF17 MLRO under the FCA Senior Managers & Certification Regime (SMCR)
- Maintain and enhance the firm's compliance monitoring framework and regulatory controls
- Oversee AML, financial crime and sanctions compliance arrangements
- Lead regulatory engagement and manage interactions with the FCA where required
- Advise the Board and senior management on regulatory obligations and governance matters
- Support ongoing operational and organisational transition activities
- Review and strengthen policies, procedures and risk frameworks
- Ensure appropriate regulatory reporting and notification obligations are met
- Provide assurance across conduct risk, client asset considerations and investment management controls where relevant

Qualifications

Candidate Profile

- Previously approved by the FCA as SMF16 and/or SMF17 within an investment management, wealth management or alternative investment environment

Hiring organization

FD Capital

Employment Type

Temporary

Beginning of employment

1st June 2026

Duration of employment

Perm

Industry

Financial Services

Job Location

London, South East, United Kingdom

Working Hours

9-5

Base Salary

£ 850 - £ 1,150

Date posted

May 23, 2026

Valid through

30.06.2026

- Strong working knowledge of FCA Handbook requirements, including SYSC, COBS and financial crime obligations
- Experience operating within discretionary fund management or portfolio management businesses
- Proven ability to manage regulatory change, remediation or transitional mandates
- Comfortable working directly with Boards, shareholders and external advisers
- Available to commence at short notice preferred

Additional Information

- London-based role with flexibility depending on candidate circumstances
- Both interim and permanent structures may be considered
- Competitive day rate/package available depending on experience and scope
- All discussions will be handled on a strictly confidential basis

Job Benefits

Attractive day rate in the range £850-£1,150 per day

Contacts

FD Capital are a leading recruiter for the FCA regulated businesses