



MLRO – Compliance Manager

Salary:	£60,000 – £80,000 per annum
Duration:	Permanent
Hours:	Full Time (8:30am - 5:30pm)
Location:	London, (EC2)
Reference:	HRS-60-11

Our Client is a leading Contract for Difference (“CFD”) and margined FX provider to retail, professional and institutional investors looking to trade in international and domestic financial markets. They have vast experience in the financial Industry and use the latest technologies to provide the best services to their global clients.

They are now looking for a Money Laundry Reporting Officer (MLRO) – Compliance Manager to add to their team.

MLRO – Compliance Manager – Role Description

As the MLRO, you will manage and control the company compliance with AML regulations ultimately ensuring effective systems and controls are in place. In addition, you will be responsible for updating and maintaining the ML & KYC policy.

MLRO – Compliance Manager – Key Responsibilities

The MLRO – Compliance Manager role entails the following responsibilities:

- Full responsibility for the Compliance and MLRO function
- Keeping up to date with regulatory changes and implementing these across the business
- Undertaking regular ICAAP and proper documentation
- Management Information produced for review by senior management and on-going SYSC review
- Main point of contact with the FSA (CF11)
- Developing policies, procedures, training and education
- Producing regular compliance reports
- Contact between the company and authorities in respect of routine reports to SOCA
- Designing trading/clients exposure risk levels base on regulatory requirements and on-going discuss of these levels with the CEO and other board members
- Monitoring company minimum capital requirements based on regulatory requirements (FSA handbook GENPRU and BIPRU)
- Submitting regulatory reporting requirements (FSA handbook GENPRU and BIPRU)
- On-going review the company sales and marketing materials including the company website to ensure clear and correct message is being deliver and no misleading.
- On-going review of the company Terms and Conditions, account opening application and other forms

MLRO – Compliance Manager – Person Specification

Applicants to the MLRO – Compliance Manager position should possess the following qualities:

- **Minimum of 5 year’s** previous equivalent experience and approved CF11 or CF10

- The ability to interpret the FSA, MiFID and Basel II requirements
- Have been previously in charge or part of at least one ARROW visit or review
- Experience within FX & CFD Market Makers (advantageous)
- Previous experience within an EEA authorised investment firm (advantageous)
- Highly Organised with excellent attention to detail
- Strong knowledge in Microsoft Outlook, Word and Excel sheet

MLRO – Compliance Manager – Benefits

- 23 days Paid Annual leave (Plus 8 Bank Holiday's)

Next Steps

If you are interested in the MLRO – Compliance Manager position then please send your CV via e-mail to recruitment@hrsolutions-uk.com, quoting reference number: **HRS-60-11**.