



Head of Compliance & MLRO

We are searching for an experienced Head of Compliance and MLRO to take ownership and further develop the Compliance & AML functions within the business at an exciting period of growth.

Reporting to the Board, and managing a team of four compliance employees, you will adopt the roles of CF10 Compliance oversight and CF11 MLRO, upon successfully undertaking an FCA Fitness and Propriety test.

Caxton FX has different business strands that have oversight from a number of regulators and regulated partners, impacted on by legislation including E-money Regulations, Payment Services Regulations, Financial Services and Markets Act 2000 and FATCA. Guiding and navigating the business with your knowledge of the regulatory environment and relevant FCA handbook areas (such as Conduct of Business and Systems & Controls). Therefore, working with our regulators, partners and financial intelligence units is vital to this role.

You will also be required to identify the firm's money laundering risk profile and consider its customer, product and activity base, distribution channels, complexity and volume of transactions, processes and systems and operating environment in order to develop and evolve the Financial Crime framework in alignment with our corporate strategy.

This is a great opportunity for an experienced individual to provide advice on special projects, including the launch of new products and services within an exciting area of international payments.

Responsibilities

- Develop the compliance, AML and other regulatory requirements of the business, being responsible for the delivery of the same.
- The successful progression of a robust, internal & external compliance monitoring plan, supporting a culture where the role of compliance in the business is understood and appreciated.
- Delivery and implementation the training needs of the business, and beyond, to mitigate risk of under-performance in the areas of compliance and TCF.
- Overall development of an embedded relationship between the Compliance Function, internal stakeholders and external clients & partners.
- An effectively managed and developed Compliance and AML team employing efficient and effective policies and procedures.
- Providing support and guidance to your team, and devise a professional development programme for each individual, ensuring professional development is consistently achieved, and a successful Compliance Function is maintained.
- Promote a culture of transparency and compliance across the business. Seek to continually improve the governance framework drawing in external best practice and internal lessons learned.



Requirements

- Relevant experience as a CF10/CF11 within the foreign exchange and/or payments markets.
- ICA qualifications in one or each of: AML, Compliance or Financial Crime Prevention.
- Knowledge and experience of the FCA handbook with the ability to provide guidance and support on forthcoming developments and the firm's regulatory obligations.

About the company

Caxton FX is a multi-award winning FX company that has become an entrepreneurial success story.

Founded in 2002, Caxton FX now turns over circa £1 billion revenue with hundreds of thousands of clients. Our reputation for great value and amazing service is based on the strong work ethic and excellence culture of the business.

The Caxton culture is open, honest, hardworking, professional and fun. With a growing team (currently 120), the company is going through an important and exciting growth phase which is focused on new product launches and geographical development. We want to hire the very best people from all sorts of disciplines to support our ambitious growth plans so if you are the best at what you do then we want to hear from you.

Our benefits include:

- 20 - 25 days annual leave + bank holidays
- £750 annual educational bursary towards studying a professional qualification that will support your career development
- Contributory Pension
- BUPA Health Insurance OR a Cash Plan
- Cycle-to-Work scheme; Childcare vouchers
- Free daily breakfast; twice-weekly fruit
- Preferential FX rates for friends and family (money transfers and prepaid card)
- + 'Perkbox' – a range of perks including free mobile phone insurance, free Tastecard; corporate discounts on gym memberships, cinema tickets, Apple products, and more retailers.

Working Hours and Environment:

- Working hours: 8.30am to 5.30pm Monday to Friday with one hour for lunch
- Open plan office, and an 'open door' policy with access to all directors and the CEO
- Office in a central location in Victoria, just off Cathedral Walk– with cafes, restaurants, and shops on our doorstep
- Table tennis/games room to relax
- Quarterly social events

Visit caxtonfx.com for further information on our products and services.

To apply, please send your CV and short covering letter to careers@caxtonfx.com

Applicants must be eligible to work in the UK