EXEC CAPITAL

https://www.execcapital.co.uk/job/smf3-executive-director-cisi-level-4-rdr-boutique-wealth-manager-london/

SMF3 – Executive Director (CISI Level 4, RDR) – Boutique Wealth Manager, London

Description

Location: London (Mayfair)
Salary: £90,000 – £110,000, structured for tax efficiency
Type: Full-time preferred; part-time or flexible arrangements will be considered for the right candidate
Regulatory status: FCA SMF3 approval required (support provided through the application process)
Reporting line: Reports into the firm's senior leadership; works closely with the SMF16/17 Compliance Oversight function

About the Firm

Our client is a boutique, FCA-regulated wealth management firm based in Mayfair, London. The firm serves a mixed book of retail and professional clients, offering investment advice and wealth management services with the kind of personal, senior-led attention that larger institutions struggle to replicate. It is a lean, owner-led operation — small enough that every appointment matters, and structured so that senior hires have real influence over how the business runs day to day.

The firm is currently strengthening its senior management team and is looking to appoint a permanent SMF3 (Executive Director) holder as part of that process. This is an opportunity to join at a genuinely formative moment, with direct visibility to the firm's principals and a real say in how client service and firm strategy evolve.

Responsibilities

The Role

As SMF3, you will hold formal FCA accountability for the firm's day-to-day executive management under the Senior Managers & Certification Regime (SMCR). This is a hands-on, client-facing leadership role rather than a purely governance seat — you'll be expected to combine regulatory accountability with genuine commercial and advisory involvement.

You will work closely with the firm's compliance and control functions, in particular the SMF16/17 Compliance Oversight and MLRO function, to ensure the business operates confidently within its FCA permissions at all times. Given the firm's size, you should expect a flat structure with short lines of communication and minimal bureaucracy — decisions get made quickly, and you'll be part of making them.

What You'll Do

Hold SMF3 (Executive Director) accountability under SMCR, taking personal regulatory responsibility for the areas assigned to the role
Provide senior oversight across both retail and professional client relationships, ensuring service standards and suitability requirements are consistently met
Partner closely with the SMF16/17 function to maintain the firm's regulatory good standing and support its compliance monitoring programme

Hiring organization
Exec Capital

Employment Type
Full-time

Beginning of employment
1st September 2026

Duration of employment
Perm

Industry
Financial Services

Job Location
London, South East, United Kingdom

Working Hours
9-5

Base Salary
£ 90,000 - £ 110,000

Date posted
August 16, 2026

Valid through
31.08.2026

Draw on your own RDR-qualified adviser background to support and, where appropriate, directly contribute to the firm's advisory proposition
Contribute at board/executive level to strategic decisions on client proposition, growth, and operational structure
Act as a visible, accountable leader for junior staff and act as a role model for regulatory best practice across the firm
Support the onboarding of new client relationships across both retail and professional/HNW segments

Qualifications

What You'll Bring

CISI Level 4 qualification meeting RDR adviser competency requirements
Approximately 1–2 years' post-qualification experience in a regulated advisory or investment management environment
Willingness and eligibility to hold FCA-approved SMF3 status, or to be put forward for approval as part of the appointment
Comfort and credibility operating across both retail and professional/HNW client segments
A genuinely entrepreneurial mindset — this role suits someone who wants to build something at a small, founder-led firm rather than operate within an established large-firm structure
Strong communication skills and the judgement to operate with a high degree of autonomy

Job Benefits

Package and Working Arrangements

Salary is set at £90,000–£110,000, and the firm is open to structuring the package for tax efficiency where appropriate — this is worth discussing directly during the process rather than assuming a fixed cash-only structure. While the firm's preference is for a full-time appointment, they have indicated genuine openness to part-time or flexible working arrangements for the right candidate, recognising that SMF3 accountability doesn't always require a five-day-a-week presence to be discharged effectively.

Contacts

Exec Capital are a leading SMF3 Recruiter