



Majida Hendaoui

Experienced Compliance Officer with 15 years in Advisory and Regulatory Compliance

Skills

- Strong knowledge of financial products: Fixed Income, Equities, Structured products, and Derivatives
- In-depth knowledge of EU and FCA rules and regulations: MIFID 2, MAR, AML/CTF and Sanctions
- Risk assessment expertise: identification of risks, monitoring of compliance program
- Internal Audit experience, Regulatory Examinations, and management of remediation plans
- Project management and organization skills, ability to work with senior stakeholders
- Team management: recruitment, goals setting, appraisals, performance feedback
- Languages: English (Fluent), French (Native), Arabic (Native)

Education and certifications

Bärchen, Paris, France 2015
Financial Crime Certification

Weller International Business School, Paris, France 2010
Master's degree in Finance

Professional Experience

BERNSTEIN, London Nov. 2024 - Present
Advisory Compliance

- Advisory to staff on applicable law and regulations
- Providing guidance on important compliance and regulatory risks impacting the company
- Conducting Compliance Risk Assessment: defining a methodology, understanding risk scenarios and their impacts, implementation of mitigants, continuous monitoring
- Reviewing alerts escalated by Surveillance & Monitoring teams for possible market abuse and conduct issues and advice on appropriate actions

JEFFERIES, Paris, Amsterdam and Stockholm Branches July 2022 - July 2024
Head of Compliance

- Advisory and training to Equities and Fixed Income teams on regulatory and conduct issues
- Conducting Risk Assessment for Investment Banking and Capital Market activities
- Supporting Central Compliance and Control Room teams in PA dealing, outside business activities, wall crossings queries, market soundings, conflicts of interest, gifts and entertainment
- Reviewing alerts from Surveillance team for market abuse and conduct issues, advising on actions
- Logging, investigating, and escalating breaches per internal policies and regulatory requirements
- Overseeing the legal monitoring and identification of regulatory change
- Reviewing and updating compliance policies and procedures to include any local specific requirement
- Preparing Compliance and AML reports for regulators
- Assisting with audits, regulatory enquiries, and projects
- Collaborating with Senior Management, Legal, and Risk to promote compliance culture

MAWNEY Partners



TP ICAP Europe, Paris

Advisory and Trading Venues Compliance

Feb. 2020 - July 2022

- Advisory and training to trading floor teams across Equities, Fixed Income and Structured Products
- Overseeing of trading venues MTF and OTF
- Drafting policies and procedures, including Best Execution, Conflict of Interests, Compliance Manual, and Market Soundings. Review and update of Conflict of interests register
- Implementing MiFID II and various regulatory changes
- Ensuring regulatory reporting and liaising with regulators
- Implementation of Compliance plan: second level controls, process, trainings, standards of conduct
- Overseeing Transactions Reporting and submitting Errors and Omissions Notifications in case of failures
- Conducting desk review to ensure compliance with the regulatory requirements
- Implementation of KPI to monitor Compliance program, surveillance and electronic communications
- Working with key stakeholders Senior Management, Desk Heads to escalate issues for remediation
- Coordinating work with internal and external auditors
- Supporting the Head of Compliance in all Compliance matters, mentoring junior team members
- Projects: brokers transfer to EU post-Brexit, cross-border activity, new business initiatives

WESTERN UNION BANK, Paris

Compliance Manager

Apr.2019 - Jan.2020

- Ensuring compliance and control programs adhere to relevant regulations and rules
- Assisting in regulatory examination outcomes. Supporting internal and external audit examinations
- Providing training and compliance oversight of WU International Bank's dedicated locations
- Analysing alerts related to financial crime risks, performing second-line controls
- Drafting and submission Suspicious Transaction Reports, responding to regulatory enquiries

ERNST AND YOUNG, Paris

Management consulting

Feb.2016 - March 2019

Key Missions Undertaken:

- Advisory to ensure compliance with the US and EU sanctions rules
 - Advisory on client profile including activities, risk mitigating factors, and ring-fencing measures
 - Conducting joint reviews with the US team to advise on client relationship decisions
- Assistance in regulatory examinations
 - Implementation of compliance remediation program AML/CFT, Sanctions and controls
- Implementation of new directives, regulations, and rules
 - Conducting an impact assessment for the implementation of additional measures
 - Performing an operational analysis to ensure adequate resourcing for the new changes
- Compliance Risk Assessment
 - Implementation of a comprehensive methodology for the Client Risk Assessment
- Internal Audit for Financial Institutions
 - Reviewing operational processes, policies, and procedures



- Assessment of risk and control frameworks, providing recommendations and preparing audit reports

EXANE-BNPP, Paris

Sep.2014 - Oct. 2015

Market Surveillance Compliance Officer

- Monitoring of sales and trading activities, telephone and electronic communications
- Managing the control room lists: Information Barriers and trading restrictions
- Drafting and submitting Suspicious Transaction Reports , responding to regulators' enquiries

Alten Financial services, Paris

Oct.2010 - Sep.2014

Consultant

Key Missions Undertaken:

- Market Monitoring and Surveillance
 - Monitoring of daily transactions, review of alerts
 - Running of calibration tests and implementation of changes
- KYC & client on-boarding
 - Monitoring of Actimize sanction lists alerts
 - KYC/AML investigations and due diligence