



SHAAMAL K PATEL

EXPERIENCE

Goldman Sachs, London

July 2021-Present

Senior Compliance Officer – EMEA Head Credit, Mortgages & Structured Finance Compliance

- Promoted from Executive Director to Senior Compliance Officer in December 2024
- European compliance lead for the Credit, Mortgages & Structured Finance Sales and Trading businesses. Responsible for managing key senior business stakeholder relationships, including Partners and FCA appointed senior managers (i.e. SMF18)
- Responsible for the management and development of 3 reports (VP to analyst) across London and Paris. Senior compliance escalation point for all EU matters relating to the aforementioned business
- Led internal investigations regarding employee misconduct / suspected market abuse in conjunction with HR, Litigation, senior business and compliance management
- Significant experience providing compliance guidance in relation to wide ranging products within Credit, Mortgages and Structured Finance (e.g. Single Name / Index CDS, Par & Distressed Loans, IG & HY corporate bonds CLOs, Asset Backed / NAV financing)
- Responsible for the curation and delivery of training to all EMEA based Credit, Mortgages & Structured finance sales and trading personnel
- Compliance lead representative on strategic business initiatives. Responsible for providing advice and guidance to senior business management and creating an appropriate compliance framework. Examples include:
 - The creation of a new credit trading franchise “Project Bridge”, a JV with Bloomberg creating an “all-to-all” Credit bond trading platform on their UK and European MTF
 - A new “direct lending” platform within the EMEA HY & Distressed Credit trading business. Once live, the business template will be applied globally
- Led the integration of industry standards (e.g. Financial Markets Standards Board) into compliance policy and co-ordinating approach with other business divisions
- Responsible for the implementation of the FCA Consumer Duty for the EMEA Mortgages business, including drafting relevant compliance policies and assisting the business in establishing an appropriate 1st line control framework

Bank Of America Merrill Lynch, London

August 2015-June 2021

Vice President – FX & Local Currency Trading Compliance (Sept 2020-June 2021)

- Lead compliance coverage for the FX & Local Currency Trading (LCT business)
- Responsible for managing all aspects of compliance coverage for in-scope sales and trading desks
- Compliance representative on relevant business forums relating to the FX & LCT business

Vice President – FICC Emerging Markets Compliance (Aug 2017 – Sept 2020)

- Compliance lead for the FICC EM business responsible for all compliance related queries posed by Sales and Trading. Examples include:
 - Flow trading compliance queries from FX EM, Local Currency Rates, Credit Sales and Trading Desks
 - Significant experience dealing with complex public / private matters relating to par / distressed loan trading
 - Creation and submission of Suspicious Transaction and Order Reports (STORs) and Market Observations to the FCA



- Knowledge of key regulations e.g. (MAR, MIFID II). FICC compliance SME for the EU Short Selling Regulation and co-ordinated the firm's Brexit strategy in relation to required actions

Assistant Vice President – FX Compliance (Aug 2015 – 2017)

- Provision of advisory compliance guidance to the FX Sales and Trading desks, covering multiple products including FX Spot and derivatives (swaps / options / forwards)
- Business wide working group (compliance representative) relating to the FCA FX Remediation Programme. Represented FICC compliance and created FX policies and 2nd line controls.

Barclays Investment Bank, London

September 2011 – July 2015

Graduate Analyst / Assistant Vice President (Futures Options & OTC Execution and Clearing Compliance)

- Completed two rotations on the Compliance Graduate Programme (Financial Crime and Equities Compliance)
- Progressed to a permanent role in Futures, Options & OTC Execution and Clearing Compliance and promoted to Assistant Vice President (October 2014)

EDUCATION

Chartered Institute Securities & Investment

2011-2013

Diploma in Investment Compliance

BPP Law School

2010

Graduate Diploma in Law (GDL)

University of Nottingham

2005 - 2008

BA(Hons) Politics & International Relations (2:1)