



NICHALE CAMPBELL, LLB (Hons), MCSI, Int.Dip(GRC)

PROFESSIONAL EXPERIENCE

Polen Capital UK LLP

Aug 2023 – Aug 2024

Compliance Officer & MLRO (SMF16&17)

- Provided advice on regulatory and legal issues, undertook business impact analysis of emerging regulations, established the compliance framework, reviewed financial promotions, and drafted, and executed the firm-wide annual and ad-hoc compliance and financial crime training programme.
- Managed the firm's relationship with the FCA and prepared and submitted regulatory returns.
- Defined and executed a risk-based compliance monitoring plan and maintained all compliance registers.
- Implemented and maintained the Financial Crime Framework (AML, ABC, CTF, PEPS and Sanctions), including the development of appropriate KPIs and metrics, and drafted policies, and procedures.
- Defined and established the Group Risk Management Framework and spearheaded the annual Risk and Conduct Self-Assessment (RCSA).

Julius Baer International Ltd

Aug 2016 – Jun 2023

Senior Compliance Team Head

- Undertook & prepared analyses on emerging regulations, including the provision of detailed guidance and advice to senior managers and the business, in particular MiFID II, GDPR and SM&CR.
- Drafted and executed thematic & desk-based compliance monitoring activities across the business, undertaking compliance risk assessments, provided monitoring reports and where appropriate recommendations to the firm, and tracked these through to completion.
- Handled complaints, prepared compliance reports, drafted policies & procedures, and assisted in project management and audits.
- Developed, lead and maintained the firm's diversity, equity and inclusion strategy.

Ernst & Young LLP

Nov 2015 – Aug

Senior Consultant

- Advised retail banks and wealth management firms on technical regulatory matters relating to areas of the FCA Handbook in particular COBS, SYSC, CONC, GEN, SUP, DISP, MCOB and ICOBS.
- Led teams focused on advisory projects and assisted the engagement management to successfully complete engagement objectives.
- Assisted in the preparation of risk assessments and annual Compliance Monitoring Plans for financial services clients and drafted relevant Compliance manuals, policies and procedures as required.
- Drafted thought pieces, organised and presented at breakfast briefings and provided training to colleagues on emerging regulations.



C. Hoare & Co.
Compliance Officer

Jan 2014 – Oct 2015

- Drafted, maintained, and revised terms and conditions, policies and procedures and compliance manuals to ensure that the Bank was complying with its regulatory obligations.
- Researched, analysed, and provided advice to the business on new FCA & PRA regulatory requirements.
- Devised & executed Compliance Monitoring Plan, proposing and overseeing any remedial action.
- Reviewed and approved financial promotions.

Vestra Wealth LLP
Compliance Monitoring Officer

Jan 2013 – Jan 2014

- Analysed new and emerging FCA & SEC rules, activities and practices and advised the General Counsel, Head of Compliance and the Board as required.
- Developed & executed risk-based compliance monitoring program, proposed necessary remedial action.
- Drafted, implemented, and maintained company policies, procedures, and conducted workshops on a variety of regulatory issues including fraud, bribery, conflicts of interest and anti-money laundering.
- Reviewed and amended terms of business, client agreements and service agreements.

Transact
Corporate Compliance Officer

Jul 2012 – Dec 2012

- Analysed new FSA and IPA rules and emerging regulations and advised the Head of Compliance and the Board on the implications of these changes on the business.
- Undertook regulatory reporting to the FSA.
- Co-ordinated investigations, assessments and reported to SOCA and the FSA.

Judicium Consulting Ltd
Financial Regulation Consultant

Sept 2011 - Jul 2012

- Client account management.
- Undertook client due diligence checks and conducted regulatory audits.
- Developed, implemented, and completed risk-based Compliance Monitoring Plans.
- Involvement in designing and provision of AML training courses.
- Drafted compliance manuals, policies and procedures.

Justis Publishing Ltd
Legal Editor

Sept 2009 – Sept 2011

- Analysed and wrote case digests for reported cases within various Law Reports.
- Wrote journal abstracts, which were published, on the company's website by identifying the key legal issues in discussion.
- Provided training for barristers, solicitors, and law librarians on how to conduct legal research using the firm's search engine Justcite.



Northern Rock Plc

Personal Banker (Part-Time)

Apr 2004 – Aug 2009

- Ensured that the branch remained compliant with the anti-money laundering regulations (AML).
- Conducted fact-finding and loan recommendations.
- Handled customer complaints.

EDUCATION

International Compliance Association (ICA)

ICA International Diploma in Governance, Risk & Compliance

2023-2024

Chartered Institute for Securities & Investments (CISI)

Diploma in Investment Compliance

2015-2015

The College of Law – London Bloomsbury

Bar Vocational Course: Very Competent

2008-2009

City University – London

Bachelor of Law with Honours in Law: Upper Second Class

2005-2008

Enfield County School – Middlesex

3 A-Levels: English Literature (A), History (A), Psychology (B)

2001-2003

Enfield County School - Middlesex

10 GCSEs: 5As & 5Bs (including English and Mathematics)

1996-2001