



Chris Beevor

## **PROFILE - EXECUTIVE SUMMARY**

An accomplished Board member, SMF 1, SMF 16, SMF 17, and Global Head of Compliance & Operational Functions with a proven track record in leading strategic change programs and global risk and control frameworks. A skilled communicator and collaborator who builds productive relationships with C-suite stakeholders to drive regulatory engagement and remove barriers to progress. A subject matter expert with both buy-side and sell-side experience, adept at interfacing between regulators and the business to provide support and challenge as needed. Leads by example, inspiring and developing responsive teams to meet current business needs and future challenges.

## **KEY SKILLS & COMPETENCIES**

- Company Director
- Strategic Planning & Leadership
- Regulatory Leadership, Coordination, Inventory Management, Reporting, Change Management & Controls
- Risk Management: Organisation, Programme, Product, Service, Function
- Global Change Programmes
- Performance Management: Data Analysis, Metrics
- Strategic and Tactical Operating Models
- Strategy and Technology Transformation
- Leading Onshore / Offshore / Matrix / 3rd Party Teams
- Portfolio, Programme, Project Management
- 'C' Suite Reporting on Operational and Regulatory Programmes and Issues
- New/Emerging Technologies, Automation, Robotics
- SME in Client, Compliance and Operational Data
- Speaker at Industry Groups, Forums, and Conferences
- Certified Scrum Master, Operational Excellence, Lean Six Sigma, Global Process Transformation
- Governance, Consulting and Advisory experience

## **CAREER HISTORY- EXPERIENCE**

### **GAM Investment Management**

Aug 2019 – Present

*Head of Compliance, Group Legal & Compliance COO / UK MLRO – SMF1/SMF16/SMF17/Chief Compliance Officer*

- Director of GAM Sterling (SMF 1) & GAM USA Inc.
- Head of UK & US Compliance (SMF 16) and Deputy Head of Group Compliance, registered with the FCA, SEC, NFA
- MLRO for the UK (SMF17) and US entities, global lead for Financial Crime Prevention Compliance activities
- Chief Compliance Officer for UK entities with US regulators for alternatives and Investment management#
- COO for Group Legal and Compliance
- Oversight for UK Risk Management activities
- Participant and reportable to multiple Fund and Entity boards across global jurisdictions
- Oversee Compliance Outsourcing activities and systems for multiple locations and services.
- Global lead for Policy Management, Regulatory Development, Compliance Monitoring & Advisory and Compliance lead for Risk Management as chair or member of global committees

**MAWNEY Partners**



- Global responsibility for the development and implementation of Group activities covering, 2nd line Oversight and Monitoring, Product Governance framework, Distribution and Marketing, Investment Management, Operations, IT and Outsourcing
- Regular interaction with regulators, clients and C-Level leaders

Key Achievements:

- Developed a global operating model for compliance activities, implementing globally consistent and locally applicable processes, controls, and metrics to enhance transparency and measure compliance risks and activities for global Committees and Boards
- Created a global control room and advisory teams to manage Compliance risks concerning Surveillance, Conflicts, Conduct and Culture, including implementation of SM&CR regime and global ESG requirements
- Implemented functional processes concerning the UK, and US requirements covering Financial Promotions, Product Development, SM&CR, Client Assets and Custody etc.
- Implemented a Strategic Outsourcing model with 3rd Party Partners to expand Group Competencies
- Developed a Global horizon scanning and ongoing Governance Framework to monitor regulatory change
- Overhauled the Conflicts, Culture and Governance frameworks at a group level, working with global regulators to resolve historical deficiencies and improve accountability and transparency
- Responsible for changing the role of Compliance to be trusted partners and advisors for all business areas, developing strong relationships with leaders across the organisation, creating an open and honest environment to raise and discuss issues

**ING, London**

Aug 2017 – Feb 2019

*Consultant for UK Programme Delivery*

- Engaged by ING to develop and deliver a Strategic Regulatory Operations Team for the London branch covering AML, KYC, tax and regulatory reporting obligations, including compliance and risk processes
- Chaired Branch Steering Committee covering Client Lifecycle Management and related Tax and risk processes
- UK Business Lead for global KYC programme

Key Achievements:

- Implemented tactical operating model to increase run rates, analysing requirements from the branch's senior business, compliance and operational stakeholders and the centralised PWC remediation programme
- Agreed and documented strategic operating model and outlined implementation options
- Implemented control framework and metrics to measure the risk of branch AML/KYC/CLM processes and client profiles

**MACQUARIE**

Jan 2011 – Aug 2017

*Global Head of Regulatory and Compliance Operations & EMEA Head of Operations, London*

- Led global regulatory operational and compliance processes and operated as Regional Head for Equities, Fixed Income and Commodities Operations teams
- Responsible for Global AML / KYC / Financial Crime processes across the Macquarie Group, including new clients, refreshes, remediation and screening processes

**MAWNEY Partners**



- Responsible for Global Regulatory Reporting concerning trade and transaction reporting to global regulators for the Macquarie Group including Global OTC and equity trade reporting
- Managed a global team of 200+ people with hubs in London, Sydney, New York, Houston and Manila, held responsibility for the indirect management of 85 FTE and controlled annual budgets above £20m
- Responsible for a change portfolio and the development of risks and controls frameworks (RCSA) for all EMEA Operational Processes: Trade Processing, Confirmations, Settlements, Payments, AML / KYC, and Transaction Reporting
- P&L and budget responsibility for Operational and Technology Programmes totalling £40m
- Represented Operations in Branch Management and Global Operational Leadership Committees

#### Key Achievements:

- Implemented Lean Six Sigma and Operational Excellence processes, resulting in FTE savings and a 10% reduction in the risk profile of regional processes
- Implemented regional risk and controls processes, and created Key Risk and Key Process Indicators
- Delivered global change programmes for new and existing OTC and AML/KYC/FCC regulatory changes, covering the development of new rules, process improvements, controls and oversight mechanisms
- Sponsor in Branch Steering Committee for operational and risk programmes
- Implemented centralised processing and quality measurement processes in Manila where the team were responsible for 70% of global processing
- Sponsored centralisation of client, data, and regulatory reporting processes, resulting in the standardisation of 50 reporting processes and the standardisation of global client processes into one platform
- Sponsored regulatory change programmes, implementing system/process changes with budgets of £10m+:
  - Implemented global systems for AML / KYC payment and client screening covering 500k messages per month;
  - Implemented internal workflow tool supporting 25k clients;
  - Implemented a global regulatory reporting platform and related reconciliation mechanisms supporting trade reporting for 20m trades per month
- Developed risk frameworks and RAID logs to enable Macquarie to measure process and regulatory risk, whilst developing control frameworks covering each regulatory regime
- Implemented global reporting obligations for G20 OTC for all new and changing regulations on time/budget
- Developed a global operating model to centralise compliance and operational reporting obligations into one central team, and created entity reporting metrics for all global entities for business heads and entity boards
- Represented the organisation in external forums and ISDA working groups
- Consolidated 50+ processes and teams into a model to enable the development of skills and people capabilities required for a long-term and sustainable operating model

#### EARLIER CAREER

##### **UBS**

Oct 1998 – Dec 2010

- *Regional Head of Client Onboarding / AML / KYC (EMEA), London* May 2008 – Dec 2010
- *Asia Pacific Head and Deputy Global Lead - AML / KYC Review Programme, Singapore* Jul 2007 – May 2008
- *Head of Data Management, Singapore* May 2005 – Jul 2007
- *Senior Business Change Lead, London* Jun 2002 – May 2005

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- *Reconciliation & Controls Supervisor, London*

Oct 1998 – Jun 2002

**HSBC, London**

*Cash Management Analyst*

02/1995 to 10/1998

**General Accident Life Assurance**

*Client Support*

06/1994 to 02/1995

**EDUCATION & PROFESSIONAL DEVELOPMENT**

- Trustee (Director) and Chair of Strategy and Operations Sub-Committee: High Wycombe
- Citizens Advice (resigned 2022)
- Advisor A-Team Reg Tech Regulatory Advisory Board (Current)
- Certified Scrum Master (2019)
- Henley Business School Master Class (2016 & 2017)
- Design Thinking: Stanford D School: Macquarie (2015 & 2016)
- Higher Diploma in Business Management: Henley Management College (2006)
- Lean Six Sigma Green Belt Accreditation: UBS (2006)
- Affiliate Member of the Securities Institute (2003)