**Anna Timone**

Flat 30, 50 Sloane Street, London, SW1X 9SN • Phone 07780956112 • annatimone@yahoo.com

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**PROFESSIONAL EXPERIENCE:**

**Kingswood Group** September 2019 - present

London, UK

*Head of Risk & Compliance* (contract role)

* Act as CF10/CF11 and manage team of 8 people with focus on investment management, wealth planning, core compliance and SYSC risk monitoring to ensure compliance with the FCA Handbook
* Participate and prepare reports for the Board committees, including Risk & Compliance Committee, Executive Committee and Board meetings
* Oversee and manage the overall compliance program, including SMCR, GDPR, ICAAP, MiFID II, training, client on-boarding, regulatory reporting, financial promotions, managing conflict of interests between different lines of business, market abuse, suitability, risk assessment, risk monitoring program, complaints handling, client due diligence, mock audits, compliance reviews and many others
* Act as MLRO for the firm, maintain policy guidelines, AML/KYC framework, PEPs and SARs reports
* Keeping compliance policies and procedures up to date and producing new policies and procedures as a result of regulatory or business change
* Responding to requests from the FCA for information and generally managing the relationship with the FCA so as to minimise any regulatory and reputational risks to the company

**FXDD** March 2019 – August 2019

London, UK

*Chief Compliance Officer (*contract role*)*

* Acted as CF10/CF11for firm's registration process and obtaining licence with the FCA, including completing registration application, preparing business plan, conducting due diligence of financial statements and key management/approved persons, and advising firm on the FCA handbook rules and UK regulation
* Implemented SMCR, Brexit contingency plan, MiFID II, SYSC risk monitoring program and other current regulatory developments
* Developed and implemented changes to the existing compliance framework outlining the process for dealing with regulatory risks, develop board reporting, review and update compliance manual across all topics
* Ensured AML/KYC and client due diligence procedures in various regions adhere to the relevant regulatory requirements
* Reviewed firm's compliance program, policies and procedures, and performing gap analysis between existing compliance program and the FCA rules
* Worked closely with various team members and acting as a firm's point of contact with the FCA and European regulators, and support business in any ongoing projects in relation to the UK regulation

**FXCM**December2016 - February 2019

London, UK

*Global Regulation and Compliance*

* Worked with project manager on implementation of MiFID II, ESMA product intervention, and other regulatory regimes in the UK and European offices
* Developed and implement changes to the existing compliance framework outlining the process for dealing with regulatory risks, developed board reporting, reviewed/updated compliance manual across all topics and deliver training to the business
* Worked with team and provided support on project such as: Senior Management Regime, Data Protection Regulation, CASS, Outsourcing Requirements and Brexit preparation
* Worked on client due diligence, best execution, cash deposits/withdrawals, fair treatment of customers, risk and error monitoring, training, complaints handling, compensation schemes reports, client on-boarding compliance oversight, handled introducing brokers inquiries and similar matters
* Worked with the Head of Risk and Finance to ensure compliance with regulation and internal policies and procedures, prepared quarterly reports for the Board and liaised with stakeholders
* Worked on GDPR management, client documents retention and acted as internal point of contact for any client data to ensure compliance with the regulation
* Worked with team on implementation of AML/KYC and Financial Crime regulation (policies, procedures and audits) in the company globally
* Worked closely with the regulators in the UK and other jurisdiction to develop and sustain strong long-lasting relationship between the firm and government agencies in case of audits or regulatory inquiries Involved in variety of ongoing projects, such as employee training, breaches of Code of Conduct/Ethics and internal policies, testing of policies and procedures, monitoring, audits, client and service provider due diligence, review of legal contracts, AML/KYC program requirements and implementation, compliance with marketing and solicitations rules, data protection and similar tasks

**Newton Investment Management (owned by BNY Mellon)** January 2014 - October 2016

London, UK

*US/UK Regulation and Compliance*

* Responsible for all aspects of US regulation to ensure firm's compliance with Investment Advisers Act of 1940 (From ADV Part I and II), Investment Company Act of 1940 and Dodd-Frank Act, Volcker Rule, SEC, CFTC
* Worked with teams on compliance with the FCA Handbook, including financial promotions, RFPs, CASS, COBS, SYSC, categorization of clients, permissions filings and general compliance related projects
* Assisted with regulatory audits both in US and UK, directed and advised relevant units in identifying and producing responsive documents, prepared key personnel for regulatory interviews, ensured the quality of documents produced, and managed the timely production to ensure deadlines are met on behalf of the firm
* Worked closely with the team on AML/KYC program development, implementation and risk based supervision including SARs fillings, Anti-Bribery Act and sanctions lists
* Responsible for building and developing relationships with clients, parent company (BNY Mellon), regulators, due diligence, outside counsels and consultants across all aspects of the business to help achieve  excellence in the management of firm's business
* Tracked regulatory developments, including research and analysis of regulation and assess the impact on the business and lead/assist with the implementation
* Worked closely with various business units (sales, trading, risk monitoring and back office support) to implement regulatory changes, provided training, assisted with various inquiries and projects
* Involved in variety of ongoing projects, such as employee training, on-boarding process, updating policies and procedures, identifying/monitoring of conflict of interest, breaches of Code of Conduct/Ethics and internal policies, testing of policies and procedures, marketing and solicitations requirements, monitoring investment restrictions, personal trading pre-approval requests, rules coding in Charles River trading system, AML/KYC program implantation and similar tasks

**DIAM USA (owned by Mizuho Bank)** March 2012 – December 2013

New York, New York

*Chief Compliance Officer/General Counsel*

* Responsible for developing and drafting compliance program, code of ethics, policies and procedures in compliance with the Investment Advisers Act of 1940 and Dodd-Frank Act
* Worked closely with the US regulators (SEC, CFTC, FINRA) and other jurisdictions to develop and sustain strong long-lasting relationship between the firm and government agencies
* Prepared and presented quarterly and annual reports to the Board on various legal, compliance, risk and monitoring matters in relation to US regulation and internal governance
* Handled wide range of compliance, monitoring program and risk identification/assessment matters, including implementation and testing of compliance program, Code of Ethics, corporate governance, regulatory reporting, AML/KYC program requirements and similar matters
* Responsible for corporate governance, fiduciary duties, mitigation of conflict of interests, ethics and assessment of company liability, and ensured compliance with marketing and sales rules
* Worked closely with the key management on various legal matters, regulatory reporting and variety of corporate matters
* Provided guidance on various legal matters to executive management, business development team, the Board of directors and global compliance staff in New York, Tokyo and London

**Daiwa Asset Management (America) Ltd.** February 2008 – March 2012

New York, New York

*Chief Compliance and Legal Officer*

* Responsible for all aspects of compliance program pursuant to Rule 206(4)-7 of the Investment Advisers Act of 1940 and Dodd-Frank Act, including drafting and implementing compliance manual, code of ethics, information security policy
* Worked closely with the US regulators (SEC and FINRA) and other jurisdictions to develop and sustain strong long-lasting relationship between the firm and government agencies
* Responsible for SEC audits and internal audits from company headquarters in Tokyo and office in London in compliance with FCA rules
* Developed policies and procedures and acted as a MLRO for AML/KYC program Anti-bribery & Corruption, Data Protection regulations
* Worked closely with Head Trader and IT in creating and implementing compliance trading rules in Bloomberg and Charles River trading system, insider trading, best execution and investment universe list

**ING Financial Partners, Inc**

Parsippany, New Jersey                                                                 May 2004 – January 2008

*Compliance Internal Auditor*

* Planned and performed audit of member firms, investment advisers and asset managers to ensure their compliance with the SEC requirements under the Investment Advisory Act 1940
* Examined and analysed financial, operational and sales practice compliance with internal policies and applicable laws, including policies of the firms, suitability requirements, custodian practices, advertising/marketing practices, funds accounting, AML/KYC rules and similar

**Metropolitan Life Insurance Company**      October 2002 – May 2004

Iselin/Roseland, New Jersey

*Compliance Associate*

* Assisted in firm’s compliance with Acts of 1934 and 1940, and FINRA in firm’s registration filings, compliance policies, licensing, disclosures, monitoring programs and similar.
* Worked closely with various business teams to administer, test and implement compliance program and risk and internal control, assisted with training for employees, completing various forms and applications, handled inquiries from the staff, reviewed marketing presentations and similar tasks

**ADMISSIONS and LICENSES:**

* State Bar of New York, Member
* FCA Diploma in Investment Compliance issued by CISI (UK)

**EDUCATION:**

* **Seton Hall School of Law,** Newark, New Jersey, Juris Doctor Degree, May 2010

Honors/Activities:   Member, Journal of Corporate & Finance Law

* **Rutgers University,** New Brunswick, New Jersey, Bachelor of Arts in Finance, May 2004

Honors/Activities:  *Summa Cum Laude*