



MiFID II: Assessing the Market Impact

June 10, 2015 at 6:30 PM
London

100WHF invites you to bring your daughter, niece, or any young woman you mentor as part of *Celebrating Education - Investing in the Next Generation* initiative

The Markets in Financial Instruments Directive II (MiFID II) is one of the most important pieces of regulatory reform to come out of the recent financial crisis. The Directive, with the aim of improving the function of the financial markets and strengthening investor protection, will take effect in January 2017. It is crucial that managers understand and start planning for the changes, as MiFID II is a diverse piece of legislation that will likely have significant costs, headcount, and infrastructure implications for EU-based managers.

Join us for a panel discussion on the implications of MiFID II and how firms can prepare now for this wide-ranging Directive. Q&A and networking will follow the panel.

Participants

Kate Haswell, Chenavari Financial Group
Anna Maleva-Otto, Schulte Roth & Zabel International LLP
Robert Quinn, Robert Quinn Consulting
David Jarman, *Moderator*, Buzzacott

Event Details

Date: June 10, 2015

Time: 6 PM Registration.

We will begin *promptly* at 6:30 PM; please arrive early. Since it is disruptive to everyone when latecomers enter the session, those arriving after an education session has begun will only be admitted at the discretion of 100WHF and the host. Please note the start time on this invite and plan to arrive early.

Host: Buzzacott LLP

Location: 130 Wood Street, **London**, EC2V 6DL, United Kingdom

RSVP: [RSVP Now](#)

If you have any questions about this event, please contact the [London Education Events](#) committee.

This event is NOT FOR ATTRIBUTION. All 100WHF events are private events and we require that no one reports publicly on any aspect of them.

Admission to this event is free, but there is a £20 charge if you register and do not attend (even if you cancel in advance). No-show proceeds will be donated to The Art Room, the 2015 beneficiary of 100WHF's UK philanthropic initiatives.

If you have no-show fees in arrears, the system cannot register you for an event. You can view and pay for any outstanding no-show fees online from your [Member Profile](#)

Space is limited. No walk-ins will be permitted.

Biographies

Kate Haswell, Chief Compliance Officer, Chenavari Financial Group

Kate joined Chenavari in 2015 as Chief Compliance Officer. Prior to this, Kate was formerly the Head of Compliance and the MLRO for 9 years at CQS and was responsible for all regulatory matters across all CQS Funds and regulated entities. Before joining CQS, Kate worked for A.G. Edwards & Sons for five years in a similar role, overseeing European and US clients for Money Laundering and Compliance related matters. Prior to this, she worked in a compliance and trading role at Australia's oldest stock broking firm, Joseph Palmer and Sons. Kate is a Chartered Fellow (FCSI) of the Chartered Institute for Securities & Investment, and a Senior Associate (SAFin) of the Financial Services Institute of Australasia. She holds a B.Comm in Economics and Finance from the University of Western Sydney; a Postgraduate Diploma in Advance Investment and Finance from Financial Services Institute of Australasia; a Graduate Diploma in Regulation and Compliance from the Chartered Institute for Securities & Investment of England; a Diploma in Money Laundering from the International Compliance Association (Manchester Business School), and is currently studying a MSc Regulation at The London School of Economics and Political Science.

Anna Maleva-Otto, Partner, Schulte Roth & Zabel International LLP

Anna Maleva-Otto is a partner in the London office, where her practice concentrates on advising asset managers on a range of UK financial services regulatory matters, including the impact of EU directives and regulations. She has a particular focus on advising clients on the establishment of regulated businesses, financial crime (including market abuse, money laundering and bribery), financial promotion and offers of securities, regulatory reporting and disclosure obligations, regulatory capital, and conduct of business rules.

Prior to joining SRZ, she gained substantial experience advising hedge fund managers, brokers, insurance firms and investment banks on a wide spectrum of regulatory matters in her roles in private practice and as an in-house counsel and compliance officer of a hedge fund manager. She frequently participates in industry working groups in connection with new and emerging regulatory initiatives, and has advised asset manager trade associations on their advocacy efforts related to several key pieces of recent EU legislation (including the Short Selling Regulation, Alternative Investment Fund Managers Directive, MiFID II and MAD II). Anna began her career as a regulatory consultant assisting clients in the financial services sector with the design and implementation of compliance procedures, conduct of internal compliance investigations, compliance audits and remediation exercises.

Robert Quinn, Managing Director, Robert Quinn Consulting

Robert Quinn is the Managing Director of Robert Quinn Consulting, an award winning compliance consultancy based in Mayfair. The firm specialises in providing tailored advice to alternative asset managers on their FCA, SEC, CFTC and other U.S. regulatory obligations. Robert Quinn Consulting is proud to be one of the only consulting firms in London that is fluent in both FCA and U.S. regulation. They offer senior regulatory consultants with significant in-house experience so they understand your business requirements and can offer pragmatic, commercial advice that will help to build your business. The firm has successfully transitioned over fifty managers through AIFMD.

Previously, Robert managed a team of consultants at one of the largest consultancies in the UK. Robert is a U.S. attorney who has been in financial services since 1997. He began his regulatory career with Charles Schwab in San Francisco and has since provided bespoke compliance advice, in accordance with SEC and FINRA requirements, to a number of start up firms including investment banks, broker-dealers, investment advisers and a variety of asset managers. His comprehensive understanding of the industry allows him to focus on the regulation and potential conflicts of interest that apply specifically to fund managers.

David Jarman, Partner and Head of FCA Regulated Firms Team, Buzzacott

David is a Partner at Buzzacott and heads up the FCA Regulated Firms team, providing audit, taxation, accounting, outsourcing and regulatory reporting services to FCA regulated business.

David's clients include fund managers, investment advisers, brokers and corporate finance firms, many of whom are part of international groups. David joined Buzzacott in December 2003.

Buzzacott

About Buzzacott LLP

Buzzacott offers market-leading expertise to financial services firms, focusing on proactive advice to clients facing both the challenge of legislation changes and a desire to concentrate their efforts on growing their business. Its service is comprehensive and bespoke, and includes the fundamentals of statutory and client money audits, tax compliance and tax advisory services. Buzzacott also provide the full complement of outsourced services that covers all client accounting, regulatory reporting, HR, payroll and company secretarial requirements.



100 women in hedge funds®

About 100 Women in Hedge Funds (www.100womeninhedgefunds.org)

100 Women in Hedge Funds is a global, practitioner-driven non-profit organization serving over 13,000 alternative investment management investors and professionals through educational, professional leverage and philanthropic initiatives. Formed in 2001, 100 Women in Hedge Funds has hosted close to 500 industry education events globally, connected more than 250 senior women through Peer Advisory Groups and raised over \$36 million for philanthropic causes in the areas of women's health, education and mentoring.