



PETER OAKES

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QUALIFICATIONS

Peter is a Solicitor admitted in three international jurisdictions - Ireland, the United Kingdom and Australia. Twenty one (21) years commercial experience (13 years post admission legal experience), collectively in the fields of administrative law, capital markets, mutual funds, payment services, banking, insurance financial services law, strategic compliance, company law, commercial law, civil & commercial litigation, property law, consumer protection law, mediation, independent non-executive directorships and service to government/regulatory panels and tribunals.

In addition to his law studies, Peter holds post graduate qualifications in Company Directorship and Corporate Governance: (i) *Diploma in Company Direction* (Dip IoD) conferred by the United Kingdom and Irish Institute of Directors (IoD); (ii) *Diploma in Corporate Governance* (Dip Corp Gov) conferred by the Michael Smurfit School of Business, University College Dublin.

Having completed the necessary academic studies, Peter is pursuing *Chartered Director* (C Dir) accreditation through the IoD.

EXPERIENCE

Executive Roles

Peter is Managing Director, principal and founder of *Compliance Ireland Regulatory Services Limited* and *City Compliance Regulatory Services Limited*, consulting firms specialising in regulatory affairs in Ireland, the United Kingdom, South Africa, the Middle-East and Australia. Peter's businesses provide governance, risk, regulatory and operational advice to boards and management of funds, investment managers, MiFID firms, banks, custodians, trustees, administrators, distributors, insurance companies, money transfer firms, telecoms, universities and public utilities. Peter also provides in-depth technical training to boards and senior management on all aspects of corporate governance and regulatory obligations. He has presented papers in Ireland, United Kingdom, Spain, Dubai, Holland and Kuwait on regulatory affairs to Central Banks and wider public.

Non-Executive Roles

Peter is an independent non-executive director of: (i) Oasis Global Management Company (Ireland) Limited (UCITS III management company); and (ii) Atradius Reinsurance Limited (reinsurance undertaking). Both companies are regulated by the Irish Financial Regulator.

Appointments to Government bodies/panels

- *Panel of Assessors* - Appointed by the Irish Financial Services Regulatory Authority (IFSRA) pursuant to the Market Abuse, Transparency and Prospectus Regulations to a Panel of Assessors.
- *Panel of Consumers* - Member, co-ordinated by the National Consumer Agency, of Panel of Consumers willing to serve as a consumer representative and from which public and private entities can draw upon for their boards / advisory committees etc.

PROFESSIONAL BODIES / MEMBERSHIPS:

- The Law Society of Ireland
- The Dublin Solicitors' Bar Association
- The Institute of Directors in Ireland
- Association of Certified Anti-Money Laundering Specialists
- Irish Computer Society
- The Association of Compliance Officers in Ireland
- Sponsor and contributor to numerous informal regulatory compliance and governance groups in Ireland and abroad.

Before establishing **Compliance Ireland** and **City Compliance** in January 2004, Peter's experience included:

- Director of Legal and Compliance (and MLRO) for BISYS (Ireland). Providing legal, compliance and operational advice on corporate transactions, fund administration, fund structures, fund registrations and general IFSRA and FSA compliance. Peter was authorised as an approved person by IFSRA for this role.
- Company Solicitor at *Barings Asset Management* (United Kingdom). Advising on investment transactions and segregated portfolios, managed synthetic collateralised debt obligations, private equity and funds as well as providing regulatory advice on, and dealings with, the FSA, IFSRA and SEC.
- Head of Legal and Compliance for *Delaware Investment Advisors* (United Kingdom). Covering advice on the legal, operational and regulatory aspects of funds governed by SEC, FSA, IFSRA, Ontario and Japanese regulations and offshore funds.
- Enforcement Lawyer and Investigator with the *Financial Services Authority* (United Kingdom). Covering investigations of, and enforcement actions against, a number of high profile investment houses, banks and funds.
- Registrar (& Mediator) to the Australian *Companies Auditors and Liquidators Disciplinary Board*. Established the executive operations of the Board and thereafter responsible for the assessment and case management of enforcement actions pursued by the Australian Securities Commission (now the ASIC) against auditors and liquidators.
- Officer with the *Australian Securities Commission* (now ASIC). Serving in the legal department focusing on corporate compliance, capital raising, market abuse and offences committed by company directors and secretaries. Represented the ASIC at numerous proceedings before Local and Federal Courts.

A more detailed C.V. is available upon request to peter@complianceireland.com