

COMPLIANCE CONSULTING ADVISER OF THE YEAR

DALLAS J. MCGILLIVRAY

*FM*Consult
compliance solutions

DALLAS J. MCGILLIVRAY**Group Managing Director**

Experienced international regulatory and business manager. Previous Global Head of Compliance and Operational Risk at a major asset management company for all business outside of the Americas with circa 30 years experience in UK and global regulatory issues, covering both retail and institutional. Over 8 years with Coopers & Lybrand (now PWC) in four different countries covering audit, accounting services, insolvency and regulation. Specialist in providing corporate governance and operational risk services to asset management and investment companies.

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ANDREW J. HICKS**Group Director**

More than 10 years experience as a manager for a major international asset management company, covering compliance monitoring/advisory, internal audit and operational risk roles. This role primarily covered the UK market place but also extended to US, Irish, Luxembourg, German, French and Italian regulated businesses covering both retail and institutional clients. Also a further 8 years as a financial and regulatory auditor for a medium size audit and accountancy firm based in London. Specialist in providing accountancy, audit, compliance monitoring, regulatory, advice and operational risk services to asset management and investment companies.

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ROSS REVELL**Director FMConsult UK**

Ross is an experienced regulatory professional who has held CF10 and CF11 roles at both a leading Insurer and separately at an IFA Network, and has also worked at two of the Big Four Consultancy firms. He has previously worked at the FSA and started his career in financial services in the Banking sector 28 years ago. His experience covers Banking, Mortgages, Life & Pensions, General Insurance, Wealth Management, Private Banking and Stock Broking.

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COLETTE PANEBIANCO**Director FMConsult USA**

Colette is an experienced financial services executive. With circa 20 years of experience in the financial services industry. Colette has a detailed knowledge of the US asset management industry from working with high-level investment advisers, hedge funds, broker-dealers and family offices both domestic and offshore. Colette specialises in designing the compliance infrastructure for start-up and established registered and unregistered US and non-US funds, investment advisors and private equity firms. Colette has proven to bring personalised and assured quality services tailored to meet a firms compliance needs. Colette is a Certified Investment Advisory Compliance Specialist.

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JOHN CLARE**General Manager – FMConsult Ireland**

John is an experienced financial services executive and has a detailed knowledge of the Irish Financial Services Industry with over 22 years of proven business experience. John has been registered with the Central bank since 1996 and is a member of the Association of Compliance Officers Ireland.

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**FIRM PROFILE**

Established in 2004, FMConsult is a specialist compliance, collective investment schemes, and operational and investment risk management consultancy that services a whole host of global financial services firms. We have made it our mission to provide solutions to our clients so that they can continually meet regulatory requirements.

Headquartered in London, FMConsult has offices in Ireland and USA, with an associate in Italy. Our highly experienced team have first-hand experience in asset management, wealth management, financial regulations and investment risk which provides us with the all-round expertise you would require from a consultancy. To learn more about our senior team, please refer to the Consultant Profiles brochure.

FMConsult is an independent regulatory, product development and operational risk consultancy committed to assisting clients in aligning financial services processes with regulatory requirements.

We provide risk and compliance solutions that enable senior management of financial services firm's to demonstrate that they and their firm are currently, and will continue to be, aligned with regulatory requirements.

We major on the wholesale firms and funds industry but also have the capacity and experience to assist retail and market infrastructure companies.

Examples of the types of work performed for our clients to date include

- Corporate Authorisation
- Compliance Outsourcing and Interim Resources
- Due diligence & expert witness assignments
- Fund establishment & authorisation
- Consumer Credit