

KEVIN O'DOHERTY

Lower Ground Floor, 13 Adelaide Road,
Dublin 2, Ireland

Telephone: +353 1 425-5962
Mobile: +353 86 828-0525

E-mail: kevin@complianceireland.com



Note:

Kevin O'Doherty is a director and sole shareholder of Compliance Ireland regulatory consultants. Kevin offers directorships in a personal capacity and Compliance Ireland does not provide services to firms where Kevin serves as a board director.

QUALIFICATIONS

Kevin is a Chartered Director.

Kevin is a Fellow of the Institute of Chartered Accountants in Ireland.

Kevin holds a Master of Business Studies (Finance) and a Postgraduate Diploma in Professional Accounting, both from University College Dublin.

EXPERIENCE

Executive Roles

Kevin is a director and principal of *Compliance Ireland Regulatory Services Limited*, a regulatory affairs consultancy that provides advice on all aspects of regulation to financial services firms, from authorisations to enforcement work.

Kevin has also provided expert witness services in a number of financial services litigation cases revolving around operational standards and compliance with regulation.

In addition to consultancy work, Kevin provides training through Compliance Ireland on a wide range of financial services regulatory subjects including corporate governance.

Non-Executive Roles

Kevin has been approved by the Irish Central Bank as a Fit & Proper person for PCF-2 (Non-Executive Director) and PCF-3 (Chairman) roles. Kevin is a non-executive director of a UCITS management company and Irish-domiciled UCITS funds. Kevin has previously served as a non-executive director of a hedge fund manager.

Kevin is a non-executive director of a number of investment firms authorized under the MiFID Regulations including a stockbroker and a Multilateral Trading Facility operator.

Kevin is also a director of unregulated firms including Special Purpose Vehicles connected to the proprietary securities trading activities of a major European bank.

Other Experience

Before joining Compliance Ireland, Kevin served as the managing director of PFPC Trustee & Custodial Services Limited (later BNY Mellon International Bank Limited), a large IFSC-based custodian company, from 1998 to 2006. Kevin was a full executive board director throughout this period.

From this role, Kevin has extensive operational experience in securities custody and banking operations as well as the fiduciary requirements of a trustee.

Between 1994 and 1998, Kevin worked in a number of fund administration roles with exposure to long-only and hedge funds, for companies in the PFPC and AIB groups. His experience took in Irish, UK, Jersey and US-registered funds.

From 1990 until 1994, Kevin worked for PricewaterhouseCoopers in Audit & Business Services.

Kevin has considerable experience regarding the legislation and regulations relating to investment firms, in particular the anti money laundering requirements, having served as an MLRO for many years.

Kevin has written articles for the financial press and peer-reviewed journals on the areas of financial regulation, corporate governance and operational risk management. He has also spoken extensively at industry conferences and in the media on these topics. He lectures on post-qualification course for the Incorporated Law Society and Chartered Accountants Ireland on the subjects of corporate governance and financial regulation.

Kevin currently sits on the Funds Working Group of the Association of Compliance Officers in Ireland. Kevin served for a number of years on the Alternatives and Trustee Committees of the Irish Funds Industry Association.