

**An experienced, well connected former senior regulator and now trusted Adviser/NED, passionate about public value, standards in professional life, DEI, and the arts. Known for strategic thinking, ideas generation and problem solving; inclusive, collegiate and robust decision making; broad and deep experience of front line, executive and advisory roles, and all operational aspects of running a complex business and complex investigations. Presently enjoying a portfolio career including:**

- **Association of Accounting Technicians – NED since April 2025 and a member of the People and Nominations Committee.**
- **The Legal Ombudsman – NED since May 2024 and member of Audit and Risk Committee and Performance Sub-Group.**
- **Financial Reporting Council – Tribunal Panel member since January 2023 and Independent Senior Adviser on enforcement matters since July 2024.**
- **The Diversity Project – Ambassador and Executive Sponsor of Disability Community since July 2023.**
- **Armstrong Wolfe’s (international COO membership organisation) – Adviser and Vice-Chair of Ad Centrum (its diversity initiative) and Adviser on Culture and Conduct in financial services since January 2023.**

**Financial Regulation/Financial Conduct Authority 1992 – 2022**

Experienced different regulatory approaches; rose from Associate to Executive then Senior Adviser, through hard work, common sense, empathetic and firm leadership, and innovative and creativity thinking; launched various new initiatives to improve staff engagement and VFM; represented FCA at external and international fora and events.

**2021 to 2022 Senior Adviser, Public Sector Equality Duty**

- Selected to join the HMT/City of London Social Mobility Task Force which led to the creation of Progress Together, a new membership body which will improve the progression of those from lower socio-economic backgrounds in financial services.
- Initiated and drove the new FCA policy on DEI which will introduce new requirements to improve DEI in 60,000 firms to drive better consumer and market outcomes.
- Popular and respected speaker on DEI matters.
- Instigated the work of the UK Regulators’ Network on the Public Sector Equality Duty and created the UKRN DEI Pledges which all members have now signed (Pledges nominated for Collaboration Network Awards 2022).

**2016 to 2021 COO (700 people, budget tens of millions; Chair of Executive Operations Committee and Executive Diversity Committee)**

- Improved HR function and people policies.
- Increased size and capability of Corporate Responsibility, improved data collection and transparency, increased diversity and reduced pay gaps, and encouraged more strategic approach including holding ExCo to account; developed flagship community engagement programme.
- Moved the organisation from a physical data centre to the cloud, making IT simpler and safer, and saving millions of pounds; established a new cyber resilience team.
- Professionalised the procurement function to improve compliance and save money, and to drive DEI and other FCA values in suppliers.
- Led relocation to and design of purpose built office in Stratford, changing culture and ways of working, improving sustainability and inclusion, saving money, winning design awards and generating positive staff feedback.
- Launched a multiyear transformation programme to make the FCA more efficient and more data led and created new organisational values to drive behaviour.
- Designed new leadership training with Oxford Said Business School.
- Responsible for business continuity and crisis management: led the operational response to the pandemic, ensuring that colleagues were safe, well and able to work.

- Initiated improvements to Executive and Board governance (more strategic agendas, better MI, more effective engagement).

**2015 Acting Executive Director of Enforcement and Market Oversight (500 people, budget of tens of millions)**

- Restructured the Division to deliver concrete benefits and promote value for money.
- Introduced settlement and mediation as enforcement tools.
- Increased case numbers and financial penalties, including against senior individuals.

**2014 Director of Strategy and Delivery, Enforcement and Financial Crime**

- Developed international engagement strategy and improved regulatory cooperation.

**2013 Head of Strategy and Operations, Enforcement and Financial Crime**

- Improved referral of cases including early intervention to ensure prompt action.
- Created a new, flexible para legal pool to improve efficiency and case management.
- Created a new know how function to increase professionalism of staff.
- Created a new digital forensics unit to improve document management and retrieval.
- Designed the FCA Academy and, with Henley Business School, an MSc in Regulation.

**2008 to 2016 Chair of International Organisation of Securities Commissions Committee 4 on Enforcement and Chair of IOSCO MMoU Screening Group (30 representatives from financial regulators around the world)**

- Doubled the number of signatories to the IOSCO MMoU to over 100 by engaging in dialogue with uncooperative jurisdictions, and instigated important and high profile projects to make C4 and the SG more strategic and ambitious, including the boiler rooms investor alerts portal, improved know how, best practices in cross border investigations, Credible Deterrence paper and an Enhanced MMoU to reflect developments in securities markets and enforcement techniques; member of Financial Stability Board expert group on international cooperation.

**1992 Investigator, rising to Manager 2001, and Head of Department 2005**

- Represented organisation on Financial Fraud Information Network.
- Led the Division through two major change programmes (with many redundancies).
- Designed Enforcement Core Skills programme; wrote large parts of Process Guide.
- Sponsored complex and high-profile cases and the largest redress scheme and fine.

**Stratford Arts Trust (an Arts Council England National Portfolio Organisation), Chair 2018 - 2021**

- Inclusive and accessible community and international performances and participation.
- Increased profits, performances and audience numbers.
- Managed relationships with Mayor of Newham, ACE and other stakeholders.
- Mentored new CEO and COO.
- Led winding up, granting significant surplus monies to local charities ("ended well").

**Previous roles**

1992 Equity Research Analyst, JP Morgan  
 1989 Research and Investment Analyst, Marshall and Co Stockbrokers  
 1987 Head of Library and Information Systems, Marshall and Co Stockbrokers  
 1984 Deputy Head of Library & Business Information, BDO Stoy Hayward accountants

**Qualifications, Training & Development and Awards**

2022 Freedom of the City of London for D&I work, nominated by Lord Mayor  
 2016 FT LGBT Executive Allies award  
 2016 International Financial Law Review award for outstanding regulatory contribution in Europe  
 1991 Chartered Institute for Securities and Investments Diploma (CISI Award for Excellence; CISI Fellow)  
 1985 Licentiate of the Chartered Institute for Information Professionals  
 1984 BA (Hons) (2(i)) Information Studies (University of North London)

Numerous other professional and vocational courses including Change Leadership at Cranfield School of Management and Executive Leadership Development programme at Said Business School, University of Oxford

**Personal interests:** Books, film, art, architecture and culture; community affairs (a founder of **Newham Voices community newspaper** and a volunteer at **Stratford Magistrates Court**)

**Referees:** Please contact me for the names of referees