

# Gary Allan

+44 7881-788640

[garyallan440@yahoo.com](mailto:garyallan440@yahoo.com)

Compliance Officer / Consultant

<https://www.linkedin.com/in/gary-allan-40b8832b/L>

Highly analytical and detail-oriented professional over 14 years of experience in ensuring regulatory adherence and promoting ethical conduct within organisations. Instrumental in designing and executing innovative compliance programmes to mitigate risk and safeguard integrity of organisational operations. Proficient in compliance monitoring and conducting detailed audits, assessments, and investigations to identify areas of non-compliance and implement corrective actions. Astute in interpreting regulatory requirements, orchestrating latest policies/procedures, and providing training to staff on compliance related matters. Excels at building and strengthening strong relationships with stakeholders and clients, establishing culture of compliance. Possesses excellent understanding of the FCA Handbook and other regulations and directives such as IFPR, MiFID II, AIFMD, GDPR, and SM&CR frameworks and FCA principles for businesses. Well-versed in maintaining highest standards of integrity and accountability to achieve described company goals and objectives.

## Areas of Expertise

- Policies and Procedures Creation & Execution
- Compliance Manual Creation & Execution
- Compliance Monitoring including Risk Assessment & Mitigation
- Audit & Investigation Management
- Team Leadership & Mentoring
- Stakeholder Engagement
- FCA Authorisations
- Compliance Training (internal and external)
- Cross-Functional Collaboration
- FCA RegData Reporting
- Interpersonal Communication
- AML / Financial Crime / Market Abuse

## Professional Experience

EMFI Group Limited, London  
Compliance Manager

July 2023 – Present

Oversee CASS compliance, including preparation of CASS resolution pack, whilst leading audit responses to attain successful outcomes for both CASS and standard audits. Develop and implement comprehensive financial crime manual, strengthening firm's financial crime defences. Train and mentor staff members on compliance to improve senior managers' fit and proper status. Conduct thorough reviews of Bloomberg chats, ensuring full trader compliance with regulatory standards. Provide timely and accurate responses to compliance queries from senior managers, traders, and operations team, enhancing regulatory understanding.

- Submitted FCA RegData Returns ahead of deadlines, maintaining flawless submission record.
- Streamlined and updated all compliance documents for up-to-date alignment with FCA rules.
- Passed training courses in AML, anti-bribery, sanctions, market abuse and CASS via a third party training provider.

Complyport Limited, London  
Senior Consultant

Nov 2021 – July 2023

Led variety of regulatory projects, including annual compliance audits, redesigned compliance programmes, and gap analysis, driving enhanced regulatory frameworks. Provided ongoing post-authorisation support, maintaining client compliance and regulatory standards. Offered on-site training for approved persons and staff on market abuse, anti-money laundering, AIFMD and

Consumer Duty, boosting regulatory knowledge. Guided various clients through entire FCA authorisation process, securing necessary approvals. Managed and participated in regulatory projects, assuring robust compliance and operational excellence.

- Contributed to section 166 reviews to achieve regulatory compliance outcomes.
- Delivered technical expertise in IFPR, MIFID II, AIFMD, GDPR, and SM&CR, assuring comprehensive client support.
- Led the Consumer Duty implementation for clients.
- Ensured delivery of potential SMF 16 compliance officer and SMF 17 MLRO outsourced assistance, facilitating smooth transition under the temporary permissions regime.

[IQ, EQ Compliance Services \(UK\) Limited, London](#)  
[Managing Consultant](#)

[September 2018 – October 2021](#)

Led all aspects of profit and loss accountability, driving financial performance improvements. Supervised team of compliance consultants, including performance appraisals to improve skillset. Provided post-authorisation support, maintaining ongoing client compliance and regulatory adherence. Shaped and enforced innovative strategies to grow compliance consulting practice, aligning with company's overall goals and objectives.

- Delivered technical expertise in AIFMD, IFPR, MIFID II, GDPR, and SM&CR, enhancing operational efficiency.
- Managing a team including the authorisation team and ongoing regulatory support team
- Overseeing the profit and loss of the overall compliance team
- Oversight of team strategy and hiring of staff

[Bovill Limited, London](#)  
[Consultant](#)

[Sep 2017 – August 2018](#)

Designed and enhanced clients' compliance programmes, including policies, procedures, and controls to ensure adherence to regulatory standards. Monitored changes in regulations and industry standards, assessing their impact on clients and updating compliance programmes. Collaborated with multiple consultants and cross-functional teams to leverage collective expertise and deliver comprehensive solutions to clients.

- Assisted firms under S166 reviews.
- Achieved internal projections on revenue.
- Managed a portfolio of clients.
- Assisted with development of analysts.

[ACA Compliance Group, London](#)  
[Senior Principal Consultant](#)

[Feb 2012 – Sep 2017](#)

Delivered expert advice to clients on regulatory compliance requirements and best practices. Developed and executed effective risk management strategies to facilitate clients identify, assess, and mitigate risks. Advise clients on governance structures and practices to ensure compliance with regulatory standards and improve organisational effectiveness. Conducted consultations with clients to understand their specific needs and tailor solutions.

- Implemented new business line (ACA Foundation) from conception to completion, overseeing P&L and managing team of analysts, contributing to revenue growth and market expansion.
- Managed a large portfolio of asset management clients from day one of their authorisation implementing all FCA requirements (Compliance Manual, policies and procedures, compliance monitoring, etc) and training staff on FCA requirements.
- Oversaw the graduate training programme.

## [Additional Experience](#)

Consultant | Hedgesupport LLP

Senior Case Officer | Financial Services Authority

## Education & Credentials

Diploma in Compliance and Regulation | Chartered Institute for Securities & Investment (CISI)

Bachelor of Science in Business Management | University of East Anglia