

## Curriculum Vitae

# Leon Bex

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## Profile

I have extensive experience with operational and material issues in the field of legal, compliance, organizational advice and risk management at financial organizations and multinationals. Specifically with regard to second line Compliance and/or first line KYC, I have gained extensive experience as a trust manager and legal counsel in the heavily regulated trust sector, which experience was very useful in large CDD projects at banks (project from March 2016 to February 2017, a project from August 2017 to December 2019 and a project in 2020). Although I have extensive experience in drafting compliance manuals and KYC / CDD policies, I am usually involved in translating policy in detail into procedures, processes and instructions.

I lead analyst teams and manage projects as part of recovery programs to meet regulatory requirements. Because of my specific knowledge and being able to keep the overview, I quickly see opportunities and achieve concrete results. I help institutions with license applications for Wtt and Wft activities (including trust, PSD2 and intermediaries in financial products) and I assist institutions in drawing up their Systematic Integrity Risk Analysis (from formulating risk scenarios to assessing the gross and net risks to setting up and implementing the necessary control measures).

I also develop knowledge and awareness training in the field of AML, trust and PSD2 legislation and I provide training to employees from all levels of a financial institution. I switch quickly and ensure decisiveness in organizations and projects. I am a senior spokesperson for board and (senior) management and I have experience in communicating with regulators. In my role as a board member and advisor to charities, I have learned to collaborate with people of different cultures, religions, gender identities and sexual orientations and have learned how to achieve results in a variety of environments and cultures.

## Work experience

2016-now

**Senior consultant and manager Compliance, Charco & Dique**

- Advisor/manager in recovery programs for screening and risk assessment of clients according to national and international AML regulations (Europe/Asia/Australia/New Zealand/North and South America):
  - Assist in the development of an automated screening and risk assessment software tool (writing business and compliance requirements, testing);
  - Develop and give (online and face-to-face) CDD/AML training in the different countries;
  - Set up and lead an FEC department;
  - Train and manage CDD analysts;
- Acting as (external) senior compliance officer;
- Perform gap analyses on legal frameworks (such as laws and regulations, guidelines and best practices);
- Manage recovery and implementation projects;
- Lead change processes with regard to, among others, CDD, KYC, AML/CTF, Wwft;
- Execute CDD management remediation program and quality assessments;
- Setting up CDD, AML, Sanctions, Conflict of Interest and Privacy policy;
- Advising management on setting up administrative organization and internal control;
- Assessment of PIA's;
- Conduct Corporate Risk Assessments (SIRA, FEC, Conflict of Interest, Privacy, Anti-Corruption) at banks, trust offices and PSD2 institutions;
- Assistance on license applications for Wtt and Wft institutions (PSD2 and intermediaries in financial products);
- Preparing board members for interviews with regulators.

2013-2015

**Head of Legal, Capita Asset Services Netherlands (current name: Apex Financial Services Group)**

- Advising on complex legal and compliance issues, managing due diligence projects, writing and implementing group policies, procedures and standards. The most important policies were:
  - Anti-bribery policy;
  - Gifts and entertainment policy;
  - Speak up/whistle blower policy.

- 2016-2013     **Legal Officer**, TMF Group
- Trust manager, business compliance, quality control.
- 2010-2012     **Legal Counsel/Corporate Secretary**, Flow Traders
- Advising complex legal issues, group corporate secretary, drafting and negotiating IT-contracts (SLA's).
- 2006-2010     **Candidate Civil-law notary**, Loyens & Loeff
- Corporate and real estate law. Advisor of corporate structures, mergers and acquisitions.
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## Expertise

Trust offices, banks, supervisors, leasing companies, real estate, corporate law, national and international financial supervision laws and regulations, CDD, KYC, AML / CTF, Wwft, PSD2, FEC, conflict of interest, privacy, anti-corruption, charity management.

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## Achievements & projects

- Acquisition of companies, legal due diligences projects
- Advice and set up development projects in Kenya
- Analysis of complex customer files (real estate, tax structures)
- Assist in the development of an automated screening and risk assessment software tool (writing business requirements, testing)
- Business risk assessments (conflicts of interest, privacy, anti-corruption) at international leasing company
- Establish AML/CDD training programs and provide AML/CDD training at international financial institutions
- Implementation of group policies and procedures at an international group company
- Leading an LGBTI organization, organizing large city festivals and multi-stage parties
- Leading charities in the Netherlands and Belgium
- Set up and lead a Financial Economic Crime department of an international leasing company
- Set up and manage legal departments and corporate housekeeping
- Set up C&D Legal at Charco & Dique
- Team leader Customer Due Diligence and quality assurance at a real estate bank

## Education & courses

2020-2021	Executive MBA, Rotterdam School of Management, Erasmus University Rotterdam
2017	Privacy management (GDPR), IAPP
2008-2011	Several Legal English courses
2006-2008	Professional Notarial Studies, University of Nijmegen
2001-2005	Rechten (LL. M), Notarieel Recht, University of Utrecht
1999-2001	Rechten (Bachelor), Nederlands Recht, University of Maastricht

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## Languages

Dutch	Native
English	C1
German	B2
Spanish	B1