

**Mike Evans**

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NYC Metropolitan Area

**VEGA Compliance Consulting, 2023-present**

**Founder, Expert Witness, Consultant**

- Consultant for compliance, controls, and regulatory risks of regulated institutions
- Expert witness for several securities litigations based on experience below
- Approved FINRA arbitrator, contributor to Fordham Law School MSL in Compliance
- Strong, articulate communicator with real-world experience and subject matter expertise

**QKR Capital Management, 2020-2022 Founder, CIO**

- Entrepreneur, technical analyst, trader, and risk manager of the QKR Flagship Fund

**BNP Paribas, 2008-2019**

**Global Head of Financial Markets Compliance, Paris/London expat 2015-2019**

- Managed a global compliance network of 200+ advisory and control officers
- Implemented logical, forward-thinking solutions in global remediation and cultural transformation, anti-financial crime (e.g. AML, KYC, sanctions), market integrity (e.g. anti-spoofing, anti-collusion), and client protection (e.g. fair disclosure, suitability, fiduciary)
- Registered in France as *Responsable de la Conformité pour les Services d'Investissement (RCSI) - Autorité des Marchés Financiers* and as the Chief Compliance Officer of the CFTC-registered swap dealer (group-level)
- Served as subject matter expert on securities and derivatives compliance, presenting remediation plans and strengthening relationships with regulators in US (DOJ, Fed, New York State DFS, SEC, CFTC, FINRA) and EU (AMF, European Central Bank)
- Implemented international regulations – e.g. MiFID/MiFIR in EU and Brexit from UK

**Chief Compliance Officer and US Head of Ethics and Compliance, New York 2014-2015**

- Managed compliance, anti-financial crime, and supervisory control systems as CCO for BNP Paribas institutional bank branch, three broker-dealers, two FCMs (futures commission merchants), Paris swap dealer, and Bank of the West
- Crafted and implemented remediation and transformation plans for business, risk, technology, and operations with oversight from, and direct accountability to the Fed, New York State DFS, and CFTC, resulting from BNPP's guilty plea and \$8.9 billion settlement
- Led risk assessments on internal and third-party emerging technology/FinTech/new products
- Took decisions to approve, deny, or terminate several multi-billion-dollar client relationships
- Developed OFAC, sanctions, AML, and other anti-financial crime technical expertise
- Moderated SIFMA CL panels for conferences on complex products and industry trends

**Managing Director, New York 2008-2014**

- Regulatory expert, product expert, and manager of Central Compliance and Markets Compliance, covering Control Room; Surveillance; Registrations; Corporate Banking; Sales, Trading, Research, and Marketing; Structured Products; Prime Brokerage/Stock Loan; FX; Commodities; Fixed Income; Equities; and Derivatives
- Implemented Reg SHO (short sales), 15c3-5, Dodd-Frank, and Volcker across all business lines
- Streamlined policies, Written Supervisory Procedures (WSPs), and 1LOD/2LOD controls

## **Lehman Brothers**

### **Equities Compliance, 2006–2008**

- Managed local and global multi-party bankruptcy and restructuring compliance issues at epicenter of *Great Financial Crisis*
- Provided primary coverage for US equity derivatives customer-flow and proprietary businesses
- Surveilled, trained, advised, and controlled for Second Line of Defense - 2LOD
- Senior Registered Options Principal, supervisor of Compliance Registered Options Principal

## **Goldman Sachs**

### **Equity Derivatives and Proprietary Trading Compliance, 2000–2006**

- Led coverage for customer-flow and proprietary businesses in Derivative Sales; Volatility Trading; Equity Finance Swaps and Delta-1; ETFs; Program Trading; Equity Capital Market Derivatives; Structured Products; and Derivative Strategies
- Led coverage for multi-billion-dollar pre-Volcker proprietary businesses (“GSPS”)
- Reviewed and approved derivatives research and presentations for balance and proper disclosures for global usage
- Prepared traders for SEC and other regulatory depositions
- Temporary expat assignment to Hong Kong trading desk
- Composed memos, WSPs, and surveillance reports – conceptualized, set alert thresholds, tested, and wrote user procedures to comply with exchange and regulatory requirements
- Created training material for new traders, salespeople, and supervisors on cross-product integration, customer suitability, options best execution, position limits, and short-selling aggregation units to achieve industry best practices

## **American Stock Exchange**

### **Assistant Director / Regulator, 1998–2000**

- Supervised investigations based on surveillance and customer complaints covering all products of the AMEX, including equities, stock and index options, ETFs, structured products, and other derivatives.
- Reviewed staff analyses of trade-throughs, spread differentials, front-running/trading ahead, lack of executions or poor executions, and other floor matters.
- Supervised investigations of AMEX traders based on surveillance and customer complaints
- Participated in performance, product allocation, disciplinary committees, and depositions
- Goodwill delegate to Korean Stock Exchange in Seoul, Korea

## **Education**

**NYU Stern School of Business:** MBA, Management and Finance

**Colgate University:** BA, Philosophy/Religion.

*Dean’s Award for Academic Excellence, Captain of Rugby Team*

## **Noteworthy...**

**NASD/FINRA:** Series 3, 4, 7, 8, 14, 55, and 63 licenses

**Memberships:** American [Mensa](#), Securities Experts [Roundtable](#)

**Volunteer:** First Aid EMT and local food pantry

## **Testifying Experience**

**FINRA Arbitration,** January 2025, “Compliance Expert in Banking, Securities, and Commodities”