Mike Evans

mike.evans@vegacompliance.com
+1.848.888.7684
https://www.linkedin.com/in/mgevans/
NYC Metropolitan Area

VEGA Compliance Consulting, 2023-present
Founder, Expert Witness, Consultant

- Consultant for compliance, controls, and regulatory risks of financial institutions
- Expert witness and litigation consultant
    - **FINRA Arbitration testifying appearances,** January 2025 and May 2026 as a "Compliance Expert in Banking, Securities, and Commodities"
    - **Multiple depositions, reports, affidavits/declarations:** federal/state court/AAA/FINRA Case information available upon request
- Certified Fraud Examiner (ACFE), *perfect score in 22 of 45 exam sections*
- Approved FINRA arbitrator, contributor to Fordham Law School MSL in Compliance
- Completed NY State Unified Court Part 146 mediator training
- 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 global remediation and cultural transformation, anti-financial crime (e.g. AML, KYC, sanctions), market integrity (e.g. anti- spoofing, anti-collusion), client protection (e.g. fair disclosure, suitability, fiduciary), including internationally (MiFID/MiFIR in EU and Brexit from UK)
- 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)
- Presented remediation status to regulators in US (DOJ, Fed, DFS, SEC, CFTC, FINRA) and EU (AMF, European Central Bank)

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, BNP Paribas Asset Management, 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

For information only. This CV does not evidence a formal engagement.

Managing Director, New York 2008-2014

- Regulatory expert & product expert, managing 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; Written Supervisory Procedures (WSPs) and 1LOD/2LOD controls

Lehman Brothers

Equities Compliance, 2006-2008

- Managed local and global compliance issues at epicenter of *Great Financial Crisis*
- Provided primary coverage for US equity derivatives customer-flow and proprietary businesses
- 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; Derivatives and Proprietary Trading Strategies (GSPS)
- Approved derivatives research and presentations for balance and proper disclosures
- Composed memos, WSPs, training material, and surveillance reports – conceptualized, set alert thresholds, tested, and wrote procedures to comply with exchange and regulatory requirements

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

Prudential Securities

Branch Auditor, 1997-1998

- Performed audits of branch network to ensure compliance with broker-dealer regulatory obligations by registered representatives, branch managers, operations managers, and other supervisors.

Education and Noteworthy

NYU Stern School of Business: MBA, Management and Finance
Colgate University: BA, Philosophy/Religion.
Dean's Award for Academic Excellence, Captain of Rugby Team
NASD/FINRA: Passed series 3, 4, 7, 8, 14, 55, and 63
Memberships: American Mensa
Volunteer: First Aid EMT and local food pantry
Boards: Securities Experts Roundtable, Avon BOE (education), Lwiro Primate Fund (charity)

Publication

ABA Business Law: Spring 2025, "The Compliance Expert Advantage: A New Field Of Expertise In Financial Litigation"

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