



## Helping firms and senior managers meet their compliance responsibilities.

I'm a financial services compliance consultant and have 20 years' experience working in senior roles for the highest calibre organisations in the City. I advise firms on a wide range of compliance issues and am an expert in the implementation of SMCR.

I've acted as trusted adviser to over 100 Senior Managers working with them individually and with their teams to help them to meet their personal regulatory responsibilities.

My experience as a Supervision Team Manager at the FSA allows me to help firms understand what regulators are looking for. And through my experience as a practitioner with both Deloitte and Goldman Sachs I know how to deliver regulatory expectations quickly, efficiently and to budget.

I can help your firm with a wide range of compliance work including SMCR implementation reviews, compliance strategy and planning, board reporting, Conduct Risk and investigations, managing regulatory visits, regulator liaison, regulatory change implementation, staff training and development and Internal Audit reviews.



**Paul Morris, Managing Director,  
Gold Oak Consulting Ltd**

### Career Achievements

#### Gold Oak Consulting: Regulatory Consultant

- SMCR SME for Internal Audit at an asset manager
- SMCR pre and post implementation lead for an asset manager
- Engagement Lead for a Big Four firm delivering remediation work for a large pension provider

#### Goldman Sachs: Senior Vice President, Regulatory Affairs

- Led the implementation of SMCR across regulated firms, ensuring ongoing SMCR requirements are met
- Provided one to one training and assurance to senior managers
- Seconded to Hong Kong to help implement the Manager in Charge regime
- Led compliance planning and strategy, board reporting and communications
- Led multiple Conduct Risk investigations

#### Deloitte LLP: Director, Regulatory Liaison

- Responsibility for compliance oversight for three FSA regulated entities
- Responsibility for relationships with the FSA and ICO
- Provided advice to the business and reported to the Executive on regulatory risks and compliance performance

#### Financial Services Authority: Supervision Team Manager

- Led a team responsible for conduct of business and prudential supervision of over 350 firms including product providers, banks, networks, national IFAs, stockbrokers and fund managers
- Led multiple high-profile visits, investigations and enforcement actions.

And I compete at Indoor Rowing, winning gold at the World Championships in Paris in 2020! (Masters Lightweight 500m).

## Contact details:

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