

MAURICIO SARDI

ESG and financial services regulatory and transactions lawyer and strategist specialised in investment requirements possessing extensive knowledge of different asset classes.

Having experience at multinational banks/asset managers and top-tier law/consultancy firms, Mauricio has been heavily involved in legal and compliance projects from setting-up corporate/investments structures, implementing regulations, advising traders/PMs on investment activities to recommending improvements to business models.

Mauricio is also advising and implementing ESG/sustainable mobility projects working with scale-ups, investors, companies and regulators across Europe.

EXPERIENCE

EVtech4U, Slovenia

June 2021 – Ongoing

Founder & EV Charging Infrastructure Advisor

- Tailored ESG eMobility solutions to allow investments in private/public EV charging infrastructure based best practices, regulatory requirements and higher return on investment.
- Designed the business' strategy, developed key partnerships (retailers, municipalities, and larger companies), and managed key areas of risk (financial, reputational, climate).

Accenture, London

June 2022 – February 2023

Regulatory Capital Markets Lawyer

- Advised and implemented a new regulatory framework to provide with financial services; from insurance to asset management, to one of the largest re/insurance company in the world managing internal/external teams to deliver end-to-end solution; from technology to product structuring, to the client.
- Advised Accenture and clients on financial services regulations managing regulatory and contractual risk tailoring the offerings to the end clients.

Invesco, London/Henley

August 2019 – May 2021

Regulatory Advisor – Contract

- Partnered with senior management/PMs/traders to develop and implement changes to the existing regulatory/governance framework including investments in non/liquid equity/bonds, funds' liquidity risk, debt restructuring, MNPI, short selling, and CoI management.
- Advised on compliance and product legal matters for managing UK/Lux's UCITS/AIFs funds; including MiFID's trading activities from ideas (PMs) to execution (traders), MAR's MNPI/soundings, and Competition law.
- Developed the governance/regulatory framework to investment in private credit and private equity, and made changes to controls for trading listed securities (equities/debt) in UK/EEA.
- Mauricio was part of the fixed income team (London and Henley) and works closely to the equities teams advising in different regulation/requirements supporting the different investment strategies in EMEA and the US.

JP Morgan / Barclays Bank / Simmons & Simmons, London

Sep 2018 – March 2019

Consultant - Contracts

Over the course of this time, Mauricio joined various projects and mainly focused on the following matters:

- Advised on regulatory matters related to trading/reporting OTC derivatives under EMIR, listed securities (FICC/ETD/Equity) under MiFID II and ManCo/funds under UCITS.
- Advised a Hedge Fund's event-driven global cash equities desk in a FCA regulatory investigation related to MAR.

MS Amlin Investment Management (MS&AD Group), London

Feb 2017 – May 2018

Head of Investments Legal and Compliance (CF10/11) and Assistant General Counsel - Contract

- Advised on the business strategy (reported to GC, COO and Board) and launch a new UK asset/portfolio manager (AUM £8 billion - £6b fixed income, £2b equity), and three UCITS funds in Ireland. Also, managed an AIF (£500m real estate fund) and other reinsurance funds in Bermuda.
- Acted as the asset/portfolio manager's SMF16/17 and UCITS' advisor building their legal, regulatory and governance infrastructure. This included the drafting of the compliance documentation (Prospectus, Compliance Manual, Policies, Controls, Monitoring plan, Regulatory submissions), negotiation of legal agreements (Investment Management Agreements, Custody, internal/external delegations).

Standard Chartered Bank, Singapore

Jan 2016 – Jan 2017

Regulatory Change Advisor (SME), Asset/Wealth Management - FTC

- Worked alongside global heads of products and compliance leading the interpretation/implementation of MAR and MiFID II and their impact in the business.
- Advised/delivered MAR project globally; drafted Disclosures, Policies and Procedures, set-up Systems and Controls as well as trained 200+ employees across 17 EMEA/APAC offices (ranging from Group Heads to Country Analysts).

Clifford Chance, London

Jan 2013 – Jun 2015

Lawyer, Banking Regulation & Litigation - Contract

- Advised a global investment bank on financial crime/conduct issues conducting forensic investigations related to Capital Markets/Prime Brokerage in APAC/EMEA.
- Acted as the escalation point to provide advice on more complex financial products/trades (rates, derivatives and structures) under Competition Law and requirements applicable to capital markets transactions.

Deloitte and Touché, London

Sep 2012 – Jan 2013

Regulatory Consultant, Regulatory & Risk - Contract

- Conducted a complete review of clients' portfolios, selling practices, claims and complaints management as well as the business policies and procedures to identify breaches/gaps and possible operational/reputational risks.

Colombian Foreign Trade Bank – PUJ, Cali, Colombia

Jan 2007 – Dec 2008

Legal Counsel (Trainee), Corporate Banking

- Supported SMEs on a broad range of corporate governance, commercial negotiation of contracts and financial transactions (loan originations), corporate banking, debt and equity.