

Abdullah Farid Shaker

A professional Executive in the banking sector with more than 17 years' experience, in Regulatory Compliance, Financial Crime Compliance, Legal, and Risk Managements, Investment Banking Advisory (ECM). Highly organized, pragmatic, with proven ability to streamline the control functions to derive growth and increase efficiency and effectiveness of Corporate Governance. Strong track record and leadership capabilities in managing and developing teams, setting and achieving goals. Strong educational credentials in Financial Accounting, Audit, Fraud Investigation, Capital Markets and Legal.

Achievements

- Litigated several multi-million cases before the Committee for Resolutions in Securities Deputies for favorable outcome
- Established an exceptional relationship with the Capital Market Authority, earning their trust and confidence.
- Successfully managed and mitigated legal and Compliance risks at HSBC Saudi Arabia Limited
- Led the company through several regulatory inspections and reviews, achieving favorable outcome and significantly reducing their financial impact.
- Entrusted by management to lead several sensitive corporate governance, risk, operation, and restructuring projects.
- Entrusted to act as company general secretary and company legal representative.
- Elected as General Secretary for the CMA Authorized Person Committee.
- Led several Risk and Compliance training initiatives.
- Co-Led efforts with the CMA to introduce new regulations, approve new products (SWAP, QFII).
- Identified, investigated, and reported several multi-million Financial Crime (ML/TF) and Fraud cases.
- Conducts several pioneer CMA regulatory inspections.
- Managed several Forensic Investigations (Financial, Banking, Market Manipulations)

Professional Experience

Executive Director - Financial Advisory Services

Deloitte Middle East, April 2015 – Present

Appointed as Country leader for Financial Advisory Services, managing a team of 20+ professionals, tasked to provide Forensic Services, Business modeling and Valuations, Transaction Services, Capital Projects, Corporate Finance.

Head of Legal, Regulatory Compliance, and Financial Crime Compliance

HSBC Saudi Arabia Limited, July, 2007– Jan, 2015

Recruited as Head of Compliance then successfully progressed to be in charge of legal affairs and corporate governance, and several risk factors. Becoming a key executive in the phenomenal success of HSBC Saudi Arabia, in achieving its leading position in the Saudi Capital Market as a leader in Asset Management, Custody Services, Investment Banking, and Brokering,

Following are samples of key responsibilities and duties:

- Manage the legal risk in-line with Group Legal policies and procedures.
- Provision of advice to management and businesses on legal and regulatory development affecting the company's products and services.
- Review, advise and participate in negotiation of agreements with clients and counterparties
- Advise and coordinate responses in relation to complaints and litigations.

- Build and maintain positive and effective relationships with external law firms.
- Draft and implement legal policies and procedures in line with HSBC group policies and procedures
- Manage the company's Compliance, Financial Crime Compliance and reputational risks, in line with HSBC group policies and procedures.
- Member of the Risk Management Committee, Executive Committee, Deal Approval Committee, Reputational Risk & Client Selection Committee, New Product Committee, Audit Committee and Chairman of the Compliance Committee.

Senior Inspector

The Capital Market Authority, July, 2004– July, 2007

Recruited as senior inspector, then progressed to be de facto head of the CMA inspection department. Participated in drafting several CMA regulations, selected for NASD University, passed NASD Examiner Certificate. Conducted several periodic and cause inspection on Authorized Persons, Trade Manipulations, Insider and Synchronized Trading.

Chief Financial Officer (last position)

General Dynamics Arabia, April, 1994– April, 2001

Recruited after graduating from KAAU, as associate finance manager, progressed to become CFO. Developed cost management analysis, activity-based costing and standardizing cost for several logistic and support programs. Conducted extensive financial benchmarking, trend and variance analysis. Managed a team of 25, managed a budget of more than USD 300mm. Achieved targeted profitability, by accurately estimating and controlling costs.

Education

Master of Science - Capital Markets, University of Illinois – Urbana-Champaign ▪ 2004
 Master of Science – Accounting (MAS), University of Illinois – Urbana-Champaign ▪ 2003
 Bachelor of Science – Accounting, King Abdulaziz University ▪ 1994

Professional Qualifications

GCC Commercial Arbitration Center – Qualified Arbitrator – expected April 2016
 Certified Compliance Officer
 Certified MLRO
 Certified Examiner – NASD – 2005

Skills & Abilities

- Pragmatic, Leader, goal oriented.
- Excellent negotiator, and mediator
- Good listener, constrictive communicator.

Personal Details

- Married
- Date of birth 31 Aug. 1971

References

- Walid Khoury – HSBC Saudi Arabia – former CEO
- Tim Gray – HSBC Saudi Arabia - former CEO
- Rajiv Shukla – HSBC Saudi Arabia - Managing Director - Investment Banking
- More available upon request.