



**COMPLYPORT**  
COMPLIANCE LEADERSHIP

# Starting a Fund

**On Thursday 12th May 2011 a selection of alternative investment industry experts will be giving a series of short presentations highlighting the particular issues involved in establishing a new investment business.**



The presentations have been designed to give attendees a flavour of how the Alternative Asset Management sector works and the processes involved in establishing a new Hedge Fund business.

## Event Format

Each speaker has 15 minutes to present. There will be a specialist covering each of the main aspects relating to starting an Alternative Asset Management Business - and the potential pitfalls.

Following the formal presentations, there will be an opportunity to hold informal discussions with the speakers and their colleagues during a post seminar reception.

The speakers include representatives from Simmons and Simmons, Quintillion, Bank of America Merrill Lynch, and Complyport.

## Agenda

### 17:30 Registration and Refreshments

- Welcome & Introduction to Complyport  
Martin Herriot (Complyport)
- Setting up a Fund Manager (Authorisation Process)  
Matthew Hazell (Complyport)
- Lawyer (fund structuring, domiciles, Fund Manager/Broker entity structure)  
Steven Whittaker (Simmons & Simmons)
- Administrator (functions and duties)  
Ken Somerville (Quintillion)
- Prime Brokers and Capital Introductions  
David Rosenthal (Bank of America Merrill Lynch)
- Q&A session chaired by Martin Herriot  
(Complyport)

**19:30 – 22:00** Networking session sponsored by **fundlab** at the De Vere Venue, West One

**fundlab**

# Speakers



**Martin Herriot**  
**Chief Executive, Complyport Ltd**

Martin joined Complyport from the FSA in September 2008, where he had spent ten years (the back half of which as Manager of Corporate Authorisation). At the FSA he held decision making responsibility for authorising firms of all sizes including hedge and long-only investment managers, stock brokers and banks. He was the departmental sector specialist for asset management.

Martin is fully conversant with all aspects of asset management compliance, risk and governance including ICAAPs, compliance monitoring programmes, T&C, treating customers fairly and all other asset manager regulatory issues.



**Matthew Hazell**  
**Associate Director, Complyport Ltd**

Matthew joined Complyport in December 2009 and leads the Corporate Authorisation Team. He has over ten years of regulatory experience as an employee of the FSA.

Matthew's most recent role at the FSA was as a Senior Associate within the Permissions Department where he was responsible for assessing and making recommendations on applications for corporate authorisation and individual approval. He was nominated a subject matter expert to assist in the delivery of the Authorisation and Approval training module to new supervisors as part of the FSA's supervisory enhancement induction programme.



**Steven Whittaker**  
**Simmons & Simmons**

Steven Whittaker is a partner in the Financial Services Group at Simmons & Simmons and Head of the Firm's Asset Management Sector

Group. He is involved in a broad range of UK advisory and regulatory work for asset management clients. Steven specialises in investment funds. His investment funds practice focuses particularly on advising offshore alternative funds.

Steven is recognised in the current and recent editions of Chambers UK Guide as "extremely technically apt" and praised for his ability to "quickly understand the commercial issues" and is noted for his "astute, intelligent and pragmatic advice" and in "The Legal 500" as "top notch" and enjoying an "excellent reputation".

**David Rosenthal – Bank of America  
Merrill Lynch – Prime Broking and  
Capital Introduction**



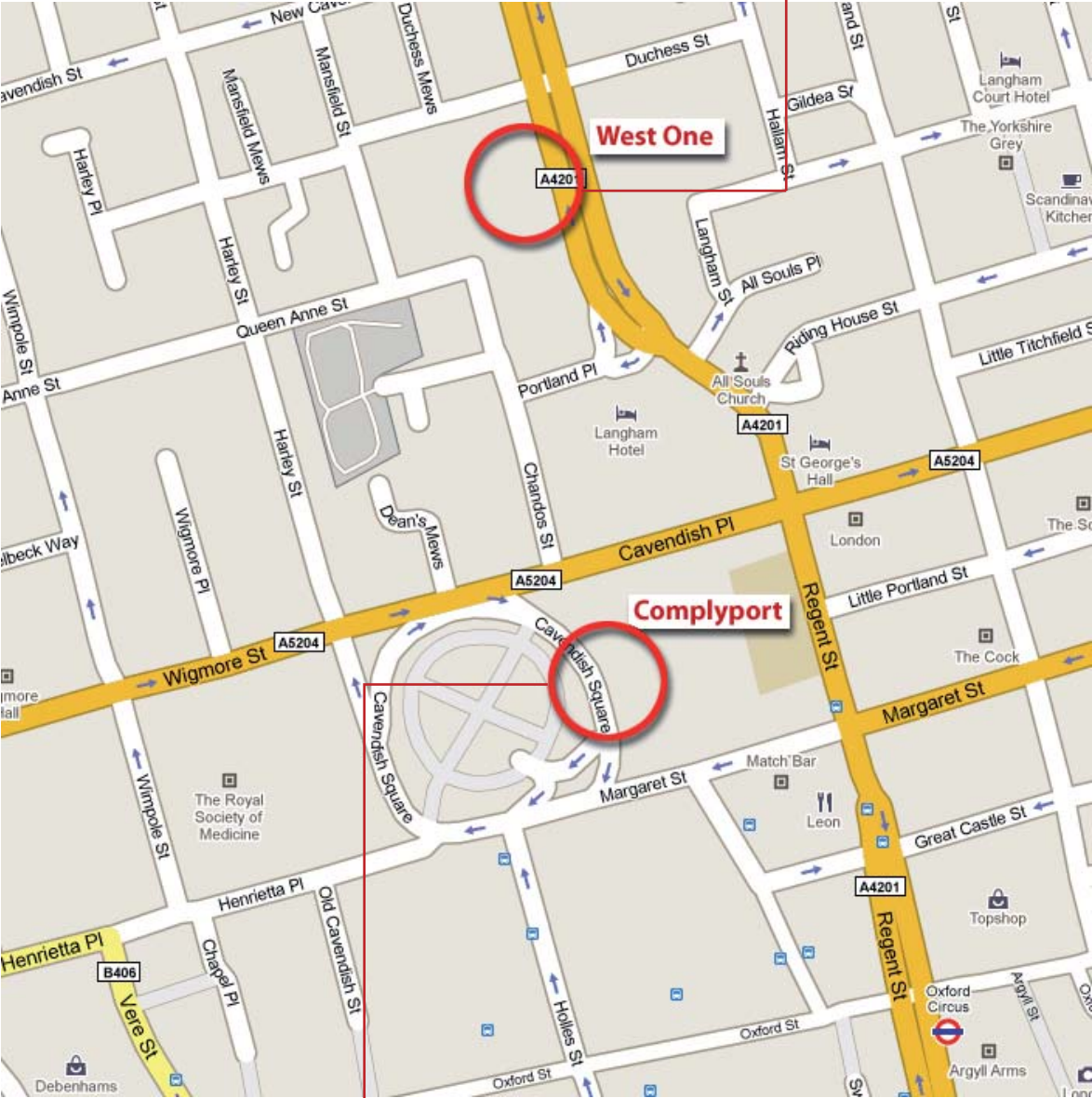
**Ken Somerville**  
**Head of Business Development,  
Quintillion**

Ken Somerville is Head of Business Development at Quintillion, and has been employed in the funds industry since 1995. He has been involved in the hedge fund sector during that time specialising in the administration, middle office and business development functions. Ken graduated from Trinity College Dublin in 1995 with a BSc (Management and Finance).

# Location

## De Vere Venue West One

9-10 Portland Place



**COMPLYPORT**  
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Complyport Ltd

4 Cavendish Square

As advertised on





**COMPLYPORT**  
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Complyport is a leading Compliance and Regulatory consultancy which identifies bespoke practical compliance solutions for regulated firms.

The firm was established in 2001 and is now one of the UK's largest compliance consulting businesses, building a team around former regulators, industry practitioners and legally qualified individuals.

Since launching, Complyport has assisted with over 400 FSA applications for Part IV Permission and we have more than 150 clients across all areas of wholesale regulated activities, including investment management, securities and brokerage, banking, venture capital, private equity, corporate finance and capital introduction.

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