



Neil Robson

Partner

neil.robson@kattenlaw.co.uk

London

p +44 (0) 20 7776 7666

Practices

FOCUS: Financial Services

Broker-Dealer Regulation

Financial Services Regulatory and Compliance

Private Equity and Real Estate Fund Formation

Private Equity

Private Funds and Investment Management

Proprietary Trading Firms

Quantitative and Algorithmic Trading

Manufacturing and Industrials Private Equity

Distressed Debt and Claims Trading

Industries

Finance and Financial Services

Recognition

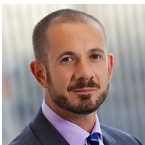
HFM European Hedge Fund Services Award, 2015

Neil Robson, a regulatory and compliance partner with Katten Muchin Rosenman UK LLP, focuses his practice on counseling hedge and private equity fund managers, investment advisers, broker dealers and proprietary traders on operational, regulatory and compliance issues. He regularly addresses Financial Conduct Authority (FCA) and EU authorization and compliance issues under EU directives, cross-border issues in the financial services sector, financial crime (including market abuse, money laundering and bribery), regulatory capital requirements, regulatory reporting and disclosure obligations, formations and buyouts of financial services groups, structuring and marketing (financial promotions) of investment funds and other financial services products and securities, conduct of business rules, as well as data privacy/GDPR compliance.

Neil is often mentioned in the media and he is a frequent speaker at industry conferences regarding developments in UK financial services regulation, including the Alternative Investment Fund Managers Directive (AIFM Directive), MiFID II, short selling and market abuse.

Selected Experience

- Representation of UK and other fund managers in relation to the impact of the AIFM Directive on their ongoing operations including authorization/registration, delegation, restructuring, marketing, disclosure and remuneration issues.
- Provision of advice to an activist fund manager in connection with its UK acquisitions, including reporting issues under UK takeover rules, concert party issues and negotiations with the UK Panel on Takeovers and Mergers.
- Representation of US proprietary trading firms in establishing UK subsidiaries, obtaining FCA-authorized status in the United Kingdom and passporting cross-border within the European Union.
- Provision of advice to numerous start-up managers in connection with the structuring, establishment and FCA authorization of their UK operations.
- Representation of a significant UK-based commodity trading adviser in restructuring its management operations so as to limit (1) FCA regulatory capital requirements and (2) the impact of the AIFM Directive, with the establishment of a non-EEA AIFM entity and appropriate levels of overseas substance so as to meet minimum regulatory requirements.



Legal 500 - UK Individual, 2014–2019

Super Lawyers Rising Stars, London, 2013–2014

2015 Lexology Client Choice Award, Client Choice, UK Capital Markets, 2015

Who's Who of Private Funds Regulatory (England), 2016–2018

JD Supra Reader's Choice - Top Author 2018, International Law and Securities

Education

LPC, BPP Law School MA, University College London

BA, University College London

Bar Admissions

England and Wales

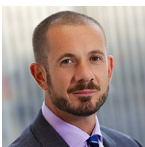
- Provision of advice to an institutional investment manager in connection with the impact of EU and international sanctions on its business.
- Provision of advice on the structure of a new UK crowd-funding business, including the FCA regulatory regimes.
- Provision of advice to clients on financial crime, bribery and corruption prevention, including staff training and implementing protective measures in the form of adequate procedures, due diligence and contractual protections.

Advisories

- One Year to Go Before SM&CR Applies to All FCA-Regulated Firms (December 10, 2018)
- Brexit Update: What You Need to Know About the UK Parliamentary Vote (December 7, 2018)
- UK Government Consults on Proposals To Reform Limited Partnerships (June 26, 2018)
- GDPR—One Month to Go: Considerations for US Asset Managers (April 25, 2018)
- MiFID II Helpline (December 18, 2017)
- The EU PRIIPs Regulation for Fund Managers (December 1, 2017)
- SEC Issues Important Interpretive Guidance on Implications of "Unbundling" the Costs of Investment Research from the Costs of Trade Execution, Mandated by EU Requirements (November 2, 2017)
- Brexit: Implications for the Financial Services Industry (June 24, 2016)
- Corporate Responsibility for Third-Party Misconduct: The UK Modern Slavery Act of 2015 (November 5, 2015)
- European Commission Publishes Delegated Regulation on Mandatory Clearing for OTC Interest Rate Derivatives (August 18, 2015)
- Securities Financing Transactions Regulation: Shining a Light on Shadow Banking (August 17, 2015)

Articles

- Co-author, GDPR Considerations for US Asset Managers (May 16, 2018)
- Author, Straight Talking, *Portfolio Adviser* (December 2015)
- Co-author, FSA Conflicts of Interest Safeguards, *The Hedge Fund Journal* (November/December 2012)
- Author, Preparing for Compliance With the AIFM Directive, *Financier Worldwide* (November 2012)
- Co-author, New European Rules on Short Selling, *The Hedge Fund Journal* (September/October 2012)



- Co-author, The Impact of Asymmetric Information, Trade Documentation, Form of Transfer and Additional Terms of Trade on Hedge Funds' Trade Risk in European Secondary Loans, *The Hedge Fund Journal* (October 27, 2011)
- Co-author, Proposed Changes to Europe's Derivatives Regulatory Structure: EMIR & MiFID II, *Bloomberg Law Reports – UK Financial Services Law* (September 2011)
- Co-author, Transposing UCITS IV Into UK Law, *Bloomberg UK Financial Services Law Journal* (May 2011)
- Co-author, FSA Remuneration Code Update: Final Rules and Application to Hedge Fund Managers, *The Hedge Fund Journal* (February 2011)
- Co-author, Bribery Act 2010: The UK's New Anti-bribery and Corruption Law and Its Interaction With the US Foreign Corrupt Practices Act, *The Hedge Fund Journal* (September 2010)

Books

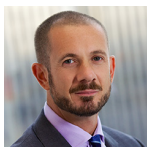
- Co-author, *Hedge Funds: Formation, Operation and Regulation* (October 2013)

Newsletters

- Author | *Corporate & Financial Weekly Digest* (Weekly)

Speaking Engagements & Presentations

- Panelist | Preventing Market Abuse: Lessons From Tipper X, a Former Insider Trader | London, United Kingdom (November 14, 2018)
- Panelist | Blockchain Technology in Real Estate | The Impact of Blockchain Technology on the Real Estate Industry | London, United Kingdom (June 14, 2018)
- Panelist | Operation and Regulation of Digital Currencies, Crypto Securities and Other Digital Tokens | London, United Kingdom (March 22, 2018)
- Presenter | FIA Core Action Items for Third-Country Firms for MiFID Go-Live | Webinar (November 13, 2017)
- Panelist | The Imminent Impact of MiFID II: The State of Play for Europe's New Financial Regulations | New York, New York (October 17, 2017)
- Presenter | MiFID II: What Are We Waiting For? | Webinar (September 20, 2017)
- Panelist | Hosted Options in a Changing World | Cordium's Annual Regulatory Conference | London, England (June 7, 2017)
- Panelist | MiFID II, Brexit and the Dutch Alternative: Regulatory and Tax Issues for Proprietary Traders | Chicago, Illinois (May 18, 2017)
- Panelist | MiFID II Transaction Reporting: Meeting the Operational and Technical Hurdles by Jan 2018 | London, United Kingdom (April 26, 2017)
- Presenter | MiFID 2/MiFIR Transaction Reporting and Position Limits Monitoring | Webinar (March 22, 2017)



- Presenter | MiFID Crash Course for US CCOs | Webinar (November 16, 2016)
- Presenter | US Trading Activities in Europe: The Impact of New EU Transaction Reporting and Position Limits Rules | FIA L&C Division Webinar (February 25, 2016)
- Panelist | Regulatory and Cross-Border Issues for Proprietary Trading Firms | London, United Kingdom (February 4, 2016)
- Panelist | MiFID 2 MUCH? The Opportunities and Challenges of Capital Market Reforms | Cordium Annual Conference 2016: Growing Panes to Success – Your Key Regulatory and Organisational Challenges in Perspective | London, United Kingdom (February 2, 2016)
- Panelist | The FCA Panel – Recent Developments and Year Ahead | Regulatory Horizon 2016 | London, W1S 4BS (December 3, 2015)
- Panelist | Reaching Your Audience – Clearer Communication for Asset Managers in 2016 | London, United Kingdom (November 4, 2015)
- Panelist | Market Structure: The Implications of MiFID II | Global Summit 2015 | London, United Kingdom (October 27, 2015)
- Panelist | Global Regulatory Developments Impacting Asset Managers | Chicago, Illinois (June 30, 2015)
- Panelist | AIFMD Hedge Fund Roundtable | AIFMD Hedge Fund Roundtable | New York, New York (April 29, 2015)
- Panelist | Developments in Proprietary Trading: Cross-Border Comparison of US and European Regulatory Initiatives | Chicago, Illinois (April 28, 2015)
- Panelist | The Next Moves—Fund Managers’ Response to an Evolving Landscape | Winning Moves: Annual Funds Conference 2015 | London, United Kingdom (March 19, 2015)
- Panelist | Building a Presence in the US | Building a Presence in the US | London, United Kingdom (March 5, 2015)
- Speaker | Hedge Fund Marketing: a Global Regulatory and Compliance Update for US Managers | Hedge Fund Marketing: a Global Regulatory and Compliance Update for US Managers | London, United Kingdom (February 26, 2015)
- Panelist | What Will the UK General Election Mean for Hedge Funds? | What Will the UK General Election Mean for Hedge Funds? | London, United Kingdom (February 25, 2015)
- Panelist | UK and European Regulatory Developments — To AIFMinity and Beyond | Cordium Annual Regulatory Forum | London, United Kingdom (February 25, 2014)
- Panelist | Clarifying the Position on Fund Marketing Under AIFMD | Infoline Hedge Fund Regulation & Compliance Forum | London, United Kingdom (October 25, 2013)
- Panelist | AIFMD — Marketing With and Without the Passport | *HFMWeek* European Operational Leaders Summit | Bagshot, Surrey (September 16–18, 2013)



- Panelist | Marketing Under the Passport Regime and Managing Funds by Delegation: AIFMD Delegation Rules | FRA Preparing for the AIFMD | New York, New York (June 18, 2013)
- Panelist | European Regulatory Developments | IMS Regulatory Forum | London, United Kingdom (January 23, 2013)
- Panelist | Compliance Spotlight | SRZ 22nd Annual Private Investment Funds Seminar | New York, New York (January 15, 2013)
- Panelist | What is Lurking on the International Regulatory Horizon, When Will it Hit the UK and What To Do in Response? | IMS Regulatory Forum | London, United Kingdom (January 25, 2012)
- Panelist | EU Short Selling Legislation | *HFMWeek* UK Breakfast Briefing | London, United Kingdom (April 21, 2011)
- Panelist | Spotlight on: AIFM | *HFMWeek* Legal Summit | Sussex, United Kingdom (September 15, 2010)