

OVERVIEW OF PROFESSIONAL PRACTICE

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PERSONA - RESUMÉ:

An accomplished senior Investment Banker with extensive management and practitioner experience in financial markets, focusing on global equity sales, research and analysis (notably Independent Research consultancy and intermediation) and origination.

Outstanding language skills and the advantages of a legal background are reinforced by strong academic credentials. Cogent and articulate communication and interpersonal skills, and a resourceful and versatile approach in the professional environment, enhance this context.

Deft negotiating ability complements innate marketing and deal-closing strengths together with the drive to analyse problems and implement effective, often innovative solutions. Determination to 'make things happen', from a position of sole responsibility as much as within a team structure, underlies a sound track-record in terms of productivity and achievement on a 'hands-on' basis as well as in management roles.

Core experience and expertise include:

- A broad, well established base of **institutional investor clients** and contacts throughout the **UK, Continental Europe** and the **Middle East**.
- **Executive and fiduciary responsibilities** relating to directorships, trusteeships, memberships of advisory and governing boards and corporate positions. (*See detailed schedule apart.*)
- **Finance functions** including budgeting, productivity and viability studies and projections, and structuring and attainment of objectives.
- Sound working familiarity with **portfolio management** and advisory functions, **investment support** functions and with a spectrum of **asset-classes** and **global regions**.
- Substantial and thorough specialist knowledge of the **Independent Research** segment world-wide: entities, applications, structures, methodologies and performance-enhancing values.
- Meticulous widely experienced and well-informed approach to **fundamental research** responsibilities. Combines **management, analytic and editorial experience** with setting up and marketing **own output** whilst leveraging the interplay between rigorous academic disciplines and detailed region/market/country, industry sector and corporate knowledge.

RECENT CAREER:

2002 – Present

Eden Financial

Director, Independent Research
(formerly Head of Institutional Marketing and Research)

Responsible for (i) setting up & developing new business streams; (ii) introduction of integrated institutions and hedge funds to trading relationships; building Independent Research consultancy, intermediation and funding platform; and (iii) promotion of group profile and operational capacities through media positioning and promoting involvement in sector and market affairs and industry associations.

Consultancy attachment to FSA, working on ‘Conflicts of Interest in Investment Research’ market intelligence and assessment project; active in FSA ‘Unbundling’ / CSA matters as contributor, commentator & AIRP founder member.

(Please see Appendix IX)

1999 - 2002

Instinet (Europe)

Director of (Independent) Research, Europe; Vice President

Responsible for Global Equity Research development, distribution and integration with Sales and Trading functions and funding formulae.

(Please see Appendix VIII)

1998 - 1999

Raiffeisen Zentralbank

Deputy Head of Capital Markets;
de facto Head of Equities

Responsible for all Equities functions (including development of Investment Banking network, CEE/Balkans/Russia; reporting/liaison - Vienna.). Deputised on standing basis for Head of Capital Markets, thereby assuming responsibility for all Debt operations.

(Please see Appendix VII)

1996 - 1998

Banco do Brasil Securities

Head of Equities

Responsible for all Equities functions, for interface with Debt Trading and Origination, and for collaboration with Banco do Brasil SA Equities counterpart operations in Brazil.

(Please see Appendix VI)

1995 - 1996

Deutsche Morgan Grenfell

Director, Morgan Grenfell International;
Head of Emerging Markets Equity Sales

Responsible for management and integration of Equity Sales activities across

international group offices, notably NYC, and for associated corporate relationships and collaboration, notably Origination / New Issues.
(Please see Appendix V)

1992 - 1995

Inverlat International

Director

Set up and co-managed entity specialising in pan-Latin American Equity and Equity-related Trading and Research activities, executing core Sales, Research and Institutional Account Management responsibilities.

(Please see Appendix IV)

1987 - 1992

Baring Securities

Director

Responsibility for and co-management of pan-European (ex-UK) Equity and Equity-related Trading and Research functions, incorporating personal key Sales, Research and Client Account Management responsibilities. Collaboration with Baring Bros. and Barings Asset Management interests in common.

(Please see Appendix III)

1985 - 1987

Wood Mackenzie/Hill Samuel

Deputy Head of European Equities Department

Set up and co-managed pan-European (ex-UK) Equity Sales, Trading and Research activities, executing core Sales, Research and Client Account Management responsibilities. Responsible for collaboration with HS new business origination functions.

(Please see Appendix II)

EARLY CAREER:

Pre-1985

Academic

The National Trust for Scotland

PA to the Director

The British Council (The British Institute), Florence;

Various responsibilities

The British Consulate, Florence;

(under sub-contract)

Centro Nucleare Ed Atomico del Esercito Italiano, Florence
(under sub-contract)

Legal, commercial and media/leisure sector entities, Florence
(under sub-contract and on freelance terms)

**PROFESSIONAL
TRAINING:**

Numerous (City University, Financial Training, FSA etc.)

**PROFESSIONAL
QUALIFICATIONS**

& COMMITMENTS: Manager; Investment Advisor; Authorised Person etc. (FSA)
Observer Board Member, AIRP; Chairman, AIRP Markets Advisory
Committee
Investment Advisory Board Member, Arc Investment Management Ltd.
Member, Skinners' Livery Company Investment Committee
Investment Advisory Board Member, Aranca Ltd.
Trustee & Executive Committee Member, Abberley Hall Foundation

(Please see also Schedule of Directorships etc.)

I.T. SKILLS:

Conversant with all standard office applications and Lotus; also with
customised and proprietary systems & databases.

LANGUAGES:

Fluent German, French, Italian; Spanish
Some Portuguese, Modern Greek, Hebrew

DATE OF BIRTH:

25th November, 1950

FAMILY:

Married - 3 children

EDUCATION:

1969-1972 **Oriel College, Oxford**
BA (Hons.) and MA, Jurisprudence
(Admitted to read for post-graduate
Diploma in Jurisprudence.)

1964-1968 **Winchester College**
4 + 2 'A' Levels; 1 'S' Level

(Please see Appendix 1)

INTERESTS:

Sports: Field, winter, equestrian and water

Other: Matters Scottish
Etymology

Clubs & Associations:

Membership details available on request

*(Please see also Schedule apart: Appointments and Positions of
Fiduciary Responsibility etc.)*

APPENDICES:

Further details relating to respective stages in this C.V. are set out separately in the accompanying schedule of appendices.

Updated to 23rd March, 2009