Charco & Dique

Curriculum Vitae

Carla Vermetten

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View on LinkedIn

Profile

I am a senior lawyer with a strong focus on content and quality and over 25 years of experience in the financial industry. My expertise lies in the field of supervisory legislation and regulations. My legal expertise spans a wide variety of financial services areas. Being an experienced lawyer, I am well able to advise various types of financial companies in interpreting and complying with relevant financial legislation, provide them with legal support in their serivces and guide them in contacts with regulators.

Work experience

2017-present **Regulatory & Compliance Consultant,** Charco & Dique

- Advising on the interpretation and implementation of (new) supervisory legislation and regulations
- Offering legal support with regard to the implementation of new supervisory legislation and regulations
- Assessing, drafting, adapting legal documentation and internal policies
- Advising on market access (license requirements, scoping issues)
- Supporting license applications
- Legal qualifications of services and products
- Performing gap-analyses

2011-2017 **Regulatory Affairs Officer Group Compliance,** Rabobank

Worldwide operating financial services company

- Coordinating and supporting visits, information requests and investigations of financial regulators, participating in internal investigations
- Identification of compliance related laws and regulations and other regulatory developments
- Periodical review Group Compliance Charter
- Contact point whistleblower policy and “trusted person network” subsidiaries and branches abroad

2008-2011 **Compliance Consultant,** NIG Compliance (now: DPA)

Compliance consultancy company

- Advising and supporting clients with regard to the interpretation of and compliance with relevant supervision and compliance legislation
- Drafting and updating compliance policies
- Handling compliance issues
- Policy Advisor, Compliance Officer, Supervision and Compliance ad interim Lawyer at various (financial) companies (banks, financial services provider, investment firm, trust office, telecom company, manager real estate investment funds)

2001-2008 **Compliance Officer | Senior Corporate lawyer,** KAS BANK (now: Caceis)

Listed niche bank for institutional investors and market parties

- Identifying developments in relevant laws and regulations
- Advising on the impact of new laws and regulations
- Drafting and updating compliance policies
- Advising on compliance issues
- Handling specific compliance matters of members Management Board and Supervisory Board (e.g. reporting duties)
- Chair Compliance Committee, Chair Integrity Committee, Member Internal Complaints Committee
- Reporting point for suspicions of malpractice, incidents, conflicts of interest and market abuse
- Periodical reporting to Management Board and Supervisory Board
- Maintaining contacts with financial regulators
- Advising on and drafting and reviewing of legal documentation and contracts in the field of banking and securities law, corporate, contract and financial security law

1999-2001 **Legal policy advisor | Lawyer,** De Nederlandsche Bank
Central bank and financial regulator
- Focus area: payments and securities settlement systems

1990-1999 **Corporate lawyer,** Kas-Associatie (now: Caceis)
Listed niche bank for institutional investors and market parties
- Advising on and drafting and reviewing of legal documentation and contracts in the field of banking and securities law, corporate, contract and financial security law

Expertise

Laws: National and European financial supervision legislation, Civil law, GDPR
Branches: Banks, Investment firms, AIFMs/Collective investment schemes, Financial intermediaries, Insurance companies, Issuers of securities, Markets

Achievements & projects

- Setting up the Supervisory Relations function
- Participate in Regulatory Oversight process
- Participate in internal fraud investigations
- Coordination of ECB investigations
- Drafting legal frameworks
- Performing gap analyses

Education & courses

1990-present Various courses and trainings in financial law, regulatory and compliance themes, communication, presentation and negotiation skills, personal leadership, English
2005 Certified Compliance Officer, NIBE-SVV
1993-1995 Master Dutch law, University of Amsterdam
1985-1990 Master International law, University of Amsterdam
1981-1985 International business and languages, Hogeschool Rotterdam Business School

Languages

Nederlands	Native
English	C1
French	Basic
German	Basic

Interests

Playing piano, reading, gardening, cycling, walking