

Curriculum Vitae

Diederik van Nieuwkerk

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Profile

My background as both regulator and consultant has made me familiar with the legal framework in which financial institutions operate and helped me understand the regulator's vision. I understand the legal requirements financial institutions have to meet, but also know the challenges that are involved in doing so. I apply this knowledge as a consultant, to help my clients reach or maintain their desired maturity level with regards to risk management and/or compliance. I possess strong analytical skills, work thoroughly and always take the needs of stakeholders on all levels into account – from regulators to supervised institutions and their clients. While doing this, I actively seek dialogue and ask critical questions when necessary. This way, I add value in a pragmatic manner.

Work experience

- 2019-present **Regulatory Compliance Consultant**, Charco & Dique
- Acting as an external compliance officer for pension funds, investment firms (MiFID II) and managers of investment institutions (AIFMD, UCITS)
 - Drafting and evaluating SIRAs
 - Performing gap analyses (MiFID II and AIFMD)
 - Translating legislation and regulations into policy and procedures

- 2016-2019 **Senior Consultant**, BDO Risk Advisory Services
- Setting up risk management function and compliance function
 - Fulfilling the role of external compliance officer
 - Advising on compliance issues
 - Drawing up and revising policies and processes (including Wft, Wwft, Pw, PSD2)
 - Performing (integrity) risk analyses
 - Compliance and risk management audits of the effectiveness of policies and processes (including compliance function, risk function, CDD/KYC, SIRA, duty of care, outsourcing)
 - Supporting with license applications (Wft, PSD2)
- 2015-2016 **Supervisor Authorization Division**, European Central Bank
- Assessing the quality and completeness of propriety and fitness assessments conducted by national supervisors (NCAs)
 - Writing a joint proposal together with the relevant Joint Supervisory Team (JST)
 - Active consultation with NCAs and JSTs
- 2014-2015 **Business Analyst Expertise Center Reviews**, De Nederlandsche Bank
- Assessing the propriety and fitness of directors and supervisory directors of financial institutions (pension funds, insurers)
- 2012-2013 **Supervisor - Insurers**, De Nederlandsche Bank
- Strategic communication (DNB Newsletter Insurers)
 - DNB Theme study 'Insurers: reporting reliability' (data quality)
 - Updating and cleaning up DNB register for reporting to EIOPA
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Expertise

- Sectors: pension funds, investment firms, investment institutions, payment institutions, lenders, trust offices
- Disciplines: compliance, integrity, operational risk management, CDD, duty of care, privacy
- Skills: stakeholder management, communication, dealing with supervisors

Achievements & projects

- External compliance officer for several types of financial institutions
 - Feasibility study for a foreign central bank
 - Investigation (factual report) into the decision-making process at a bank
 - Setting up risk management for a new lender and pension fund
 - License applications under the Wft, PSD2 and AIFMD
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Education & courses

2005-2010 International Business Administration, VU Amsterdam

Languages

- Dutch Native
 - English C2 (CPE Certificate)
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Interests

Squash, cycling, history