

Curriculum Vitae

Niels Huijpen

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Profile

My strength lies in "translating" subject matter in an understandable way for internal and/or external stakeholders. Consider for example, managers, board members, compliance and risk officers, legal employees, IT employees and of course third parties such as accountants and regulators. My approach is characterized by being able to quickly assess the current state of affairs and the (legally) desired situation. Due to my background in audit, risk, supervision, but also as a manager, I am able to provide pragmatic advice, feasible improvement plans and practical hands-on support during implementation.

I have extensive experience in the implementation and monitoring of various legal, compliance and risk frameworks and (international) standards at all kinds of financial institutions. Originally I have a background as an IT Auditor and therefore I am experienced in the field of internal controls, sound business operations, information security and outsourcing.

Work experience

- 2020-present **Regulatory, Risk & Compliance Consultant**, Charco & Dique
- (IT) Risk Manager and Privacy Officer at PSD2 company
 - Assisting (international/Brexit) organizations in applying for an AFM or DNB license
 - (interim) Compliance Officer for regulated financial organizations like investment firms

- Risk advisory assignments for numerous clients, like banks, investment firms, AIFMD's and PSD2 organizations
- Providing compliance advice (Wft, MiFID2, PSD2, AVG)
- Performing gap-analysis and creating implementation plans (AO/IC, setting up risk frameworks, etc.)
- Drafting of policies and procedures
- Performing compliance reviews (in preparation to audits)

2019-2020

Consultant (freelance), IT Regulatory Compliance & Consultancy

- Development of generic service level agreement between software vendor and AFM registered organization in order to be compliant with RTS6 / Mifid II
- Providing consultancy services with regard to outsourcing and specific legal requirements and obligations
- Development of a Cyber Security Awareness training
- Impact assessment at a Fintech company regarding Mifid II requirements for transaction time stamps

2014-2018

Manager, Team Notifications & Registrations and Team Prospectus Supervision, Dutch Authority for the Financial Markets (AFM)

- Project Manager for multiple supervisory investigations (variety of subjects within Mifid I, Mifid II, Short Sell Regulation, Wet Financieel Toezicht (Wft), Prospective Directive, like Best Execution, enforcement on notification obligations for shareholders, insiders and exchange traded funds)
- Product Owner (Agile/Scrum) for replacing the divisions legacy (and building new) applications/systems, like Suspicious Transaction and Order Routing (STOR) notifications, to a Microsoft Dynamics environment
- Divisions privacy coordinator (AVG / GDPR)
- Acted as a liaison between the Division and internal audit department, solving (critical) IT incidents, reviewing project plans, etc.)
- Successfully implemented a Lean approach for the Registration and Notifications Team by introducing weekly stand-up meeting and KPI's
- Coordination of an audit by the Internal Audit Department on the efficiency and effectiveness of investigations
- Responsible for a team of 10 fte

2010-2014

Supervision Officer, Capital Markets Division, Dutch Authority for the Financial Markets (AFM)

- Supervisor on operational and IT risks at trading platforms like Regulated Markets and MTFs, including reviews of the correct implementation of the three lines of defense model, governance and sound operational management

- Numerous reviews and investigations regarding IT changes with a potential high impact at trading platforms, investments firms, etc, like setting up new data centres, implementing new software for matching orders, outsourcing management, change management, cyber security and IT Security Management
- Implementing the ESMA “Guidelines on systems and controls in an automated trading environment in day to day supervision” (now implemented in Mifid 2)
- Advised senior staff in case of (market wide) IT Security issues
- Quality Assurance on risks in a large IT development project (development of, and migration to Microsoft Sharepoint)
- Performed multiple investigations with the aim to establish the regulatory compliance maturity level of organizations (Trading Members, Brokers) on subjects like Continuity Management and Outsourcing
- Member of the Technical Committee at ESMA for implementing CRA Regulation
- Best Execution project: exploratory investigation on maturity level Best Execution legislation at Brokers/Investment Firms and – Banks
- Audit on General IT Controls as requested by AFM’s Internal Audit Department

2007-2010

Supervision Officer IT Audit, Dutch Authority for the Financial Markets (AFM)

- Performing EDP Audits and reviews at investment firms and – banks
- Data analysis and setting up data driven supervision by assessing quality data and combining registers with other databases
- IT forensic investigations with regard to supervisory investigations

2004-2007

(senior) IT Auditor, ACAM Accountancy & Advies Amsterdam

- Performing (EDP) Audits (IT Security audits, privacy audits (WBP), Quality Assurance - and project audits (Prince II)
- Assisting accountant in Financial Audits

2002-2004

Junior EDP Auditor, Internal Audit Services, Albert Heijn B.V.

- Assisting in Annual Financial (interim) Audits
- Classifying costs according to US and Dutch GAAP regarding IT development activities;
- Assessing certain aspects of IT Security, like data warehousing

Expertise

- Compliance Wft/Mifid II/PSD2/AVG
- AO/IC (sound business operations)
- (IT) Risk Management
- IT Security
- Continuity Management
- Outsourcing
- Product Owner
- Agile/Scrum
- IT Compliance
- (project)management
- Financial Services
- Banking
- Capital Markets

Education & courses

2018	Agile/Scrum Product Owner Deep Democracy Level 1
2014	Coachend Leidinggeven, Schouten & Nelissen
2013	SCRUM Foundation, CVA Informatica Opleidingen B.V. Internet Investigations, Fox-IT BiSL Foundation
2006	Prince II Foundation ACL Foundations
2003-2005	Post-Master education EDP Auditing (RE), Vrije Universiteit Amsterdam
1996-2002	Master Business Administration (Master: Information Management), Erasmus University Rotterdam

Languages

Dutch	Native
English	C1
German	B1

Interests

Cybercrime, coaching, reading, running/fitness and golf.