

## Curriculum Vitae

# Gerard Jong

+31 (0) 6 11 86 75 08

gerard.jong@charcoendique.nl

[View on LinkedIn](#)



## Profile

Thorough. Critical. Quality-conscious. But with the ability to put things into perspective (after all, it's still a people-driven job). The challenges (financial) companies face are great, complex and numerous. How to deal with the regulation by AFM and DNB? And with society's sharply increased expectations about remuneration, diversity, sustainability, transparency and good corporate governance and regulation? Effective and efficient compliance with laws and regulations is the sum of commitment ('We want to be compliant'), integrity ('We'll do the right thing, even when no one is watching') and transparency ('We do what we say and we say what we do'). In their pursuit of longterm value creation (and its preservation), sincere and well-managed organizations pay attention to the interests of all their stakeholders. I like to help them get there, by analysis, evaluation and advice, focusing on prevention. I can provide this based on my years of experience as a lawyer, regulator, compliance officer and internal auditor at the heart of the financial sector.

## Work experience

- 2020-present **Consultant Compliance, Legal & Learning, Charco & Dique**
- Advising regulated companies (listed and non-listed) on compliance with financial supervisory laws and regulations
  - Providing litigation representation in disputes with the regulator (objection, appeal, higher appeal)
  - Teaching for The Ministry of Compliance

- 2019-present    **Teacher**, postgraduate training Executive MSc of Internal Auditing (EMIA), Amsterdam Business School/University of Amsterdam
- Teaching the Risk Management & Compliance course
- 2008-2020    **Group Regulatory Compliance Officer, Group Internal Auditor and Global Head of Internal Audit**, Flow Traders B.V.  
*Supervised proprietary trader, internationally active and listed since July 2015*
- Advising on and monitoring compliance with laws and regulations by the company and its employees
  - Setting up and further developing the internal audit function
- 2003-2008    **Manager Legal Affairs, Lawyer and deputy Fines, Charges and Publications Officer**, Dutch Authority for the Financial Markets (AFM)
- Managing the Legal Affairs team
  - Acting as AFM's agent in appeal proceedings (Rotterdam District Court and Appeals Tribunal for the Business Environment)
  - Acting as deputy Fines, Charges and Publications Officer (enforcement)
- 2000-2003    **Lawyer**, Dutch Authority for the Financial Markets (AFM)
- Supporting and advising the board, directors and other (supervisory) departments in all applicable legal areas and providing legal input in supervisory matters
- 1998-2000    **Lawyer Associate**, Loomans & Muntjewerff Lawyers
- Acting as a lawyer in the general practice of law
- 1995-1998    **Lawyer Trainee**, Mrs. Winkel & Baas Lawyers
- Acting as a lawyer in the general practice of law
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## Expertise

- Compliance with the Money Laundering and Terrorist Financing (Prevention) Act and Sanctions Act (legal advice to directors, auditing of compliance functions and support for enforcement procedures by supervisory authorities)
- Self-assessment algorithmic trading (annually, Articles 17 MiFID II and 9 RTS6)
- Propriety and fitness assessment of executive and supervisory directors
- Remuneration policy of financial enterprises (Regulation Controlled Remuneration Policy Wft 2017)

- Non-financial reporting (Decree on the disclosure of non-financial information and Decree on the disclosure of diversity policy)
  - Dutch Corporate Governance Code 2016
  - Administrative law legal protection (General Administrative Law Act: objection, appeal and appeal)
  - International Professional Practices Framework (IPPF 2017), the international framework for the professional practice of internal auditing (developed and maintained by The Institute of Internal Auditors, IIA Global)
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## Education & courses

2016-2019	Postgraduate course Executive MSc of Internal Auditing (EMIA), Amsterdam Business School/University of Amsterdam
2003-2004	Specialist course in company and corporate law, Grotius Academy, Radboud University Nijmegen
2001	Basic Legal Training in Financial Law, Securities Transactions Supervision Foundation
1997-1998	Continued Trainee Course, Dutch Bar Association
1996	Lawyer Course, Dutch Bar Association
1984-1991	Dutch Law, University of Amsterdam

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## Interests

Reading, sports, gardening, hiking and wine.