

Mark Berman



Mark has been involved in financial services regulation, law, compliance and consulting, globally.

Mark is the founder and CEO of CompliGlobe, a global compliance consultancy that advises and conducts training programs for investment advisers, brokers, regulators and hedge funds in the UK, Europe and Asia, on SEC practice, U.S. and UK financial services regulation and cross-border compliance.

Mark began his career in financial services as a law clerk with Merrill Lynch.

He was a lawyer with the Division of Corporation Finance and the Division of Market Regulation of the U.S. Securities and Exchange Commission where he worked on domestic and foreign private issuer disclosure and trading practices matters.

He was a lawyer with the London Stock Exchange and advised on supervision, regulatory and surveillance matters, and helped draft the 1993-1994 rewrite of the LSE's trading rules.

Recently, Mark served as Senior Advisor to the Financial Stability Oversight Council, U.S. Treasury. He advised on and was involved with the Transatlantic Taskforce for Markets of the Future, FSOC's proposed 2026 nonbank designation guidance and systemic risk issues.

Mark has held senior roles as head of legal and compliance, MLRO, compliance officer and assistant company secretary. He chaired and served on corporate governance, AML and new product committees.

Mark founded, co-chairs and speaks at "SEC Regulation Outside the United States", "SEC Basics" and "CCOs and SEC Examinations".

Mark wrote *An Introduction to Hedge Funds* (2007) and edited/contributed to *SEC Regulation Outside the United States* (6th ed.) and *Hedge Funds & Prime Brokers* (2nd ed.).

Mark is a Freeman of the City of London. He is a Liveryman of the Worshipful Company of International Bankers, Events Committee Chair and a Court-Assistant. He is a Liveryman of the Worshipful Company of Solicitors.

Mark advises groups and leaders on cross-border financial services issues, among them the Investment Association Trade & Investment Committee, and advised the Policy Chair of the City of London Corp.

Mark is a Trustee Emeritus of the SEC Historical Society (Trustee 2006-2009). He served on the Task Force for the SEC's 75th Anniversary Commemoration in 2009.

Mark graduated from Bowling Green University with his B.A. and M.F.A., and from Touro Law School with his JD. In connection with its Centennial celebration in 2010, BG named Mark one of its 100 most prominent alumni.

He is a member of the U.S. Supreme Court Bar, the Law Society of England & Wales (ret'd) and the New York State Bar (ret'd).

Mark served the WBSC on the Softball Rules Commission and the Softball Technical Commission, and is now a member of the Legal Commission.

In 2001, the IOC awarded Mark a Diploma for "a remarkable contribution, as a volunteer, to the development of sport and Olympism."

A former GB International, Mark is an inaugural member of the BSF Hall of Fame and was named Men's National Team Emeritus Manager. His national team "2" is retired.

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