



COSTAS PHILIPPOU

**BUSINESS CONDUCT
REGULATORY OFFICER**

What famous person would you like to meet and why?

Growing up in England, you can't help but be interested in soccer (or what we call football). As a keen footballer myself, I have a natural love for the game. A person I would like to meet would be Zinedine Zidane, who in my opinion was the greatest footballer of his generation and possibly beyond. His balance, poise, and technique were incredible as well as having a strong competitive spirit, and his quiet demeanor disguised his amazing abilities on the field of play, which is where he did his talking.

When did you first become interested in working in finance?

When I was still in what is called High School here in the USA, around 1992/1993, a huge story broke out in the UK news about a young trader called Nick Leeson, who's rogue speculative futures trading activities brought down Barings Bank, which at the time was the world's second oldest merchant bank. That incident fueled an interest in trying to understand the business of merchant (investment) banks and how this one individual could cause such an event. I didn't realize it at the time, but my intrigue eventually grew into a career within financial regulation and compliance.

In 3 sentences, tell me about your role at the firm.

Over the years, financial rules and regulations have grown and grown, and at the heart of this is the protection of investors, customers and clients. My role is to review the new and existing rules and regulations that apply to the various business units and make sure that we have adequate procedures that are in line with the requirements set out in those rules and regulations. This enables the firm to remain compliant and proactive in implementing the legislation and various rules that govern our business.

What do you like to do in your spare time?

I moved to the US/LA from London, England, and this makes me appreciate the gorgeous weather that living in LA offers, so most of my spare time is spent doing something outdoors. My spare time is by no means a relaxing occasion, my wife and I have been blessed with two boys ages 4 and 1 and they are extremely active! We try to keep them occupied and entertained by going on bike rides, trips to the beach, trips to the park, hikes and various other outdoor activities, which I'm sure other colleagues with young children can relate to.

What is one thing that most people would be surprised to learn about you?

When I was 5 years old, our Elementary School teachers asked us to make a drawing or a piece of art. Unbeknown to me at the time, all our drawings, paintings and artworks were submitted to the (Cadbury's) National Exhibition of Children's Art in the UK. Out of thousands and thousands of entries, my watercolor painting of a "fish in the sea" was selected as one of the winners to be displayed at the Exhibition. I got to attend the gallery opening and received an award certificate from the National Gallery. To this day, it's probably the height of my artist career; I'm terrible at drawing and painting!

If you could visit any place in the world, where would it be and why?

Being of Greek decent and having visited many of Greece's ancient archeological sites, I have a keen interest in learning about and understanding ancient civilizations. One of those would be the ancient Egyptians, so I would like to visit Egypt and go to see their many ancient monuments. When you see first-hand what humans were able to accomplish so many years ago, it's pretty amazing.