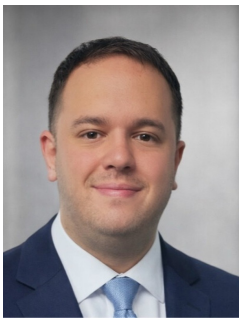
Douglas B. Trindade

Compliance Officer (Director), Leonteq Securities (Europe) GmbH

German & EU Regulatory Compliance · AML/CFT & Financial Crime · Compliance Governance, Monitoring & Controls · Capital Markets Lawyer

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PROFILE

Second-line compliance at Leonteq Securities (Europe) GmbH. My work connects regulatory controls, product governance and financial-crime risk in a business involving derivatives, structured products and cross-border investment activity. My career connects corporate and capital-markets legal work in Brazil with financial-crime compliance in Portugal. Today, I work in the independent second-line Compliance function of Leonteq Securities (Europe) GmbH, with a focus on German and EU requirements in a cross-border investment-firm environment. That background informs the questions I bring to compliance: how a transaction works, where risk arises, what the rule requires and what evidence supports the decision.

CORE COMPETENCIES

- AML/CFT & financial crime: KYC, CDD, EDD, beneficial ownership, PEP and sanctions, higher-risk relationships and escalation.
- Regulatory change: applicability and impact assessment, requirements mapping, gap analysis and implementation (AMLR/AMLD6).
- Compliance governance: entity and Group-aligned frameworks, policies and control methodologies.
- Second-line monitoring: control design and operating effectiveness, root causes and proportionate remediation.
- Audit & regulatory interaction: control evidence, findings, corrective actions and audit readiness.
- Regulatory perimeter: WpIG, WpHG, GwG, MaComp, applicable MaRisk requirements, MiFID II/MiFIR, MAR and PRIIPs.
- Capital markets: debt and equity offerings, securitisation, cross-border M&A and LGPD/GDPR programmes.
- Technology & analysis: AI-assisted regulatory research, multilingual document analysis and cross-border coordination.

PROFESSIONAL EXPERIENCE

Compliance Officer (Director) — 2026 —

Leonteq Securities (Europe) GmbH

Independent second-line oversight of regulatory and financial-crime risks in derivatives and structured products. Responsibilities include control design and testing, product governance, regulatory liaison and engagement with internal and external auditors. I contribute to legal and compliance frameworks and coordinate regulatory change implementation across branches, addressing German, UK and Portuguese requirements according to the relevant entity, activity and jurisdiction. Risk-based monitoring encompasses control design and operating effectiveness, root-cause analysis and remediation assessment. Regulatory work includes applicability and impact assessments and obligation mapping across WpIG, WpHG, GwG, MaComp, applicable MaRisk requirements, MiFID II/MiFIR, MAR, PRIIPs and the EU AML Package.

Financial Crime Compliance Associate — 2024 — 2026

FinTrU

Financial-crime compliance for Tier 1 international investment-bank clients of FinTrU, covering EU, UK and US institutional portfolios. Conducted risk-based assessments of complex corporate relationships, beneficial ownership and control structures, enhanced due diligence, PEP and sanctions exposure. Applied bank-specific AML/CFT policies and risk-classification methodologies, assessed evidential gaps and documented conclusions and escalation points. Contributed to analytical workflow improvements and AI-assisted multilingual document analysis. Collaborated with engineers on an AI and machine-learning project, contributing domain expertise and training activities to support the automation of compliance processes.

KYC / AML-CFT Compliance Officer — 2022 — 2024

Natixis Corporate & Investment Banking (Groupe BPCE)

Risk-based AML/CFT assessments of corporate and institutional banking relationships, including higher-risk counterparties, complex beneficial-ownership and control structures, jurisdictional exposure and enhanced due diligence. Progressed into a CRM role with broader assessment and coordination responsibilities. Applied Financial Security policies and risk-classification methodologies, assessed evidential adequacy and documented material concerns for escalation and mitigation. Worked closely with Financial Security on complex cases and analysed technical legal, regulatory and banking documentation in French and English.

Associate – M&A and Capital Markets — 2020

Neiva, Barros & Figueiró Advogados — in cooperation with Garrigues

Corporate and cross-border M&A advisory, including legal due diligence, transaction structuring, contractual negotiations and corporate and regulatory risk assessment for international investors and Latin American operations. Led implementation of a company-wide data-protection compliance programme aligned with Brazil's LGPD and the EU GDPR, translating requirements into policies, governance arrangements, contractual safeguards and operating procedures. Conducted regulatory gap analyses; worked in Spanish on cross-border matters.

Associate – Capital Markets and Corporate — 2018 — 2019

Demarest Advogados

Capital-markets, banking and corporate practice involving public and private debt and equity offerings, debentures, commercial paper and IPO-related transactions. Worked on securitisations and structured finance involving CRA, CRI and CDCA instruments, alongside M&A, corporate reorganisations and financing arrangements. Responsibilities included legal due diligence, offering and financing documentation, legal opinions and interpretation of Brazilian securities regulation and CVM requirements.

Legal Research Associate; Lawyer from May 2018 — 2013 — 2018

Senise Sociedade de Advogados

Systematic analysis of legislative, regulatory and judicial developments and their implications for corporate governance, commercial activities and contractual arrangements. Conducted regulatory gap analyses against existing corporate practices, identifying legal exposure and required adjustments. Researched legislation, case law and legal doctrine; prepared and reviewed legal memoranda, opinions, corporate instruments and contractual documentation. Initially Legal Research Associate; practised as a Brazilian-qualified lawyer from May 2018.

Legal Trainee – Capital Markets and Corporate Finance — 2012 — 2013

Clifford Chance LLP

Legal trainee in international capital markets and corporate finance in São Paulo. Supported cross-border equity offerings and US listings involving Brazilian and Latin American issuers, as well as offshore debt issuances involving US- and English-law documentation. Contributed to offering memoranda, transaction agreements, legal opinions and securities-law research; responsibilities were undertaken in a trainee capacity.

Legal Trainee – Regulatory and Public Law — 2010

Trench Rossi Watanabe — associated with Baker McKenzie

Trainee work in public and regulatory law, administrative proceedings and regulated sectors. Drafted administrative defences and regulatory submissions for corporate clients before Brazilian authorities. Contributed to public procurement, government-contract and infrastructure advisory, examining statutory requirements, contractual arrangements and regulatory exposure. Prepared legal memoranda and case-law research supporting administrative challenges and advisory matters.

EDUCATION

Universidade de São Paulo · 2007–2014
Bachelor of Laws (LL.B.). Undergraduate dissertation on non-competition considerations in antitrust analysis, supervised by Professor Calixto Salomão Filho. Participation in Lawgorithm research on the regulation of artificial intelligence and algorithms with Professor Juliano Maranhão (Universidade de São Paulo).

University of Oxford · 2011–2012
Visiting Student in Law, St Catherine's College

Université Paris 1 Panthéon-Sorbonne · 2011
Exchange programme in law

QUALIFICATIONS & CERTIFICATIONS

- Member of the Brazilian Bar — Ordem dos Advogados do Brasil, São Paulo (OAB/SP).
- Cambridge Certificate of Proficiency in English (CPE) — C2.
- Diploma de Español como Lengua Extranjera (DELE), Nivel Superior — C2.
- Former President, Oxford University Brazilian Society.

LANGUAGES

Portuguese: native · English: C2 (CPE) · Spanish: C2 (DELE) · French: C1 · German: B2 · Mandarin: A2

IT & TOOLS

Microsoft Excel (advanced) · SQL (basic to intermediate) · AI-assisted regulatory research and compliance analysis.

Lisbon, 7 November 2026

Douglas B. Trindade