

RICHARD ALEXANDER

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EDUCATION

Institute of Advanced Legal Studies, University of London, UK 1997 - 2006
PhD

City University, London, UK 1988 - 1989
Diploma in Law

Jesus College, Cambridge, UK 1984 - 1988
BA Classics (converted to MA, 1991)

PROFESSIONAL QUALIFICATIONS

1989 - 1990 **Council of Legal Education, London, UK**
Bar Vocational Course

Called to the Bar of England and Wales: 1991

TEACHING EXPERIENCE

2004 – present **School of Finance and Management, SOAS University of London**
Lecturer in Financial Law; Programme Convenor, Finance and Financial Law; Departmental Director, External Engagement (since 2019)

- Masters Courses (part of the MSc Finance and Financial Law programme):
 - Legal Aspects of Corporate Finance
 - Financial Law
 - International Securities Regulation
 - Legal Aspects of International Finance
- Undergraduate Course (part of the BSc Accounting and Finance programme)
 - Business Law
- As Programme Convenor, general oversight of both the on-campus and the distance-learning courses, including, where appropriate, arranging for new distance-learning courses to be written and existing ones updated.
- Academic advisor to students on MSc Finance and Financial Law programme. Particularly important given the high proportion of international students on the programme, for whom support from family and friends at home is inevitably more difficult.

- Closely involved in the development of the MSc Finance and Financial Law programme, including the planning of partnerships with appropriate institutions in other jurisdictions and, currently, revisions to the overall format of the programme.

2010 - 2011 **Levin College of Law, University of Florida**
Visiting Scholar

Conducted research into

- U.S. securities regulation
- U.S. provisions in relation to white collar crime.

1997 - 2004 **Institute of Advanced Legal Studies, University of London, UK**
Research Fellow in European and Financial Services Law;
Manager, International Professional Training Unit

- Conducted research into financial services law and regulation and the measures to combat economic and financial crime, particularly in European jurisdictions, but also some others. Wrote periodically for a number of publications, both in the U.K. and abroad
- Assisted the then Director of the Institute, Professor Barry Rider, both with publications, e.g. on money laundering related cases in Malaysia, and with the organization of training programmes.
- As Manager of the International Professional Training and Research Unit (IPTRU), both organized and participated in conferences, workshops and professional training courses for such organisations as the Malta Financial Services Centre (now Authority), the Supreme People's Procuratorate of the People's Republic of China, the Chinese judiciary and the Law Faculty of the University of Tirana.
- Taught on the Diploma Course in Legislative Drafting as well as speaking most years at the Cambridge International Symposium on Economic Crime.
- Outside the U.K., took part in workshops in Macedonia, Turkey, South Africa and Lesotho, as well as at lecturing on occasion at universities abroad, notably the University of Palermo, Italy, with whom I assisted with the organisation of two conferences.
- From 1997 until 2002, seconded for 2-3 days per week first to Garretts and then Rowe & Maw (now the London office of Mayer Brown). Assisted the Head of Banking and Financial Services in preparing the 2nd edition of Butterworths' "Banking and the Financial Services Act", published in the summer of 1998, and then the 3rd edition, published in October 2002. Also involved in training workshops, for both clients and members of the firm, and assisted with regular publications by the firm as well as updates on topical issues in financial services law for the in-house newsletter.
- Involved, particularly at the IALS itself, but also at Garretts, in a number of projects funded by external organizations and institutions. These were:
 - A research project, funded by the European Commission, examining the legislation of the (then) 15 EU Member States in relation to insider trading.

- A training workshop, organized and funded by USAID, for the banking community of the Republic of Macedonia on measures to prevent money laundering.
- A research project, funded by the Falcone programme of the European Commission, examining both the legislation and the professional conduct rules for lawyers and accountants in relation to money laundering.
- A series of workshops, funded by the Nuffield Foundation, held in South Africa and Lesotho and dealing with a range of legal topics from the prevention of corruption and the strengthening of human rights to the protection of the legally vulnerable.
- A research project, funded by the Grotius programme of the European Commission, examining the provisions for the forfeiture of property linked to crime.

1997 Garretts, London, UK
Research Assistant in financial services law

Principally engaged in a major project for the European Commission (see above) but also involved in such matters as organising conferences and assisting with articles for both in-house and external publications.

1996 Institute of Advanced Legal Studies, University of London, UK
Research Assistant to the Director

Edited texts prepared on a wide range of topics in international and comparative commercial law as well as assisting with various seminars arranged by the Institute. Particular areas covered were the different aspects of money-laundering and the international efforts to combat this, as well as the increasing globalization of cross-border financial transactions.

EXECUTIVE TRAINING EXPERIENCE

Lecturer on executive training programme to members of Duan & Duan Law Firm, China, 2019

Lecturer on executive training programme, run jointly by SOAS and Hitotsubashi University, Japan to group of Japanese banking professionals, 2017

Lecturer on seminar to lawyers and banking clients of Zhong Lun Law Firm, Qingdao, China, 2017

Developed professional training courses for the Dubai International Financial Centre, 2008-9.

Convenor and lecturer on training programmes on the combating of economic and financial crime for the judiciary, legal profession and banking sector, run by the Inter-Governmental Action Group Against Money Laundering and Terrorist Financing in West Africa (GIABA), 2008-9.

Convenor and lecturer on training programme on the combating of economic and financial crime for the law enforcement and banking sector, run by the Government of Sudan, 2006.

OTHER ACADEMIC APPOINTMENTS

Internal examiner for PhD examinations for University of London

External examiner, LLM in Legislative Drafting, Institute of Advanced Legal Studies, University of London

Member, Scientific Committee, Cyprus Retreat on Corporate Finance Law for Educators and Professionals

Member, Editorial Board, Company Lawyer

Member, Editorial Board, Journal of Financial Crime

Member, Editorial Board, Journal of Money Laundering Control

External reviewer of LLM programme of Saint Joseph University, Dubai for Commission of Academic Accreditation, UAE Ministry of Education, 2019

External examiner for PhD examination for La Trobe University, Australia, 2019

Member, Editorial Board, Lloyds Law Reports (Financial Crime), 2014-18

Visiting Professor, Université Paris Ouest – Nanterre-La Défense, France, 2016 - 17

External examiner, LLM Corporate Finance Law, University of Westminster, 2015-16

Visiting Professor, Copernicus University, Torun, Poland, 2016

External examiner for PhD examination for University of Wollongong, Australia, 2012

Visiting Professor, Shandong Judicial Training College, China, 2003-8

RELEVANT LEGAL EMPLOYMENT

1995 - 1996 Ritchie Samuel Solicitors, Cambridge, UK
Legal Assistant

- Involved in advising a national government in Central & Eastern Europe on the setting up of two Free Trade Zones and possibilities of obtaining funding for this from the European Commission.
- Dealt frequently with firm's Associate Office in Istanbul, Turkey.
- Cases in which involved including an international aviation matter, a major fraud case and a major drug trafficking case.

1994 - 1995 Stage (internship), DG IV (Competition), European Commission, Brussels, Belgium

- Led U.K. team on two projects for the Director-General, looking at the investigation and sanctions provisions under the national competition laws of the various Member States. Responsible for drafting U.K. section of final report.
- Took part in study re-examining DG IV's approach to Notifications.
- Involved in background research to major anti-trust investigation.

**1992 - 1994 International Chambers, Temple, London, UK
*Barrister***

- Completed my pupillage at these Chambers and remained as a tenant dealing with a wide range of fields, including EC and international law, for mainly French national clients. Practice was closely linked to that of my pupilmistress, Marie-Claire Sparrow, Legal Advisor to the French Embassy and Consulate and included work directly for the Embassy.
- Cases included international insurance, ownership of property confiscated after the Second World War as well as more general criminal and civil law

LANGUAGES

- English
- French
- German

PUBLICATIONS

Books

- "Insider Dealing and Money Laundering in the EU: Law and Regulation", Ashgate (2007)
- "Insider Dealing and Money Laundering in the EU: Law and Regulation" (Chinese edition), China Law Press (2011)

Chapters in Books

- "The Pursuit of Criminal Property" in B.A.K. Rider (ed.) "Research Handbook on Financial Crime", Edward Elgar (2015)
- "Overview of Economic and Financial Crimes" and "International Legal Framework against Money Laundering and Terrorist Financing" in "The Role of Judicial Officers in Combating Money Laundering" GIABA (Inter-Governmental Action Group Against Money Laundering in West Africa) (2009)

- “Criminal liability of employees of financial intermediaries for money laundering – a British perspective”, in “Economic Crime in Polish and European Union Perspectives” TNOiK, Toruń, Poland (2003)
- W. Blair, P. Richards-Carpenter and others, “Banking and Financial Services Law”, 3rd edition, Butterworths (2002)

Articles

- “‘Cost Savings’ as Proceeds of Crime: A Comparative Study of the United States and the United Kingdom” – 45(3) *The International Lawyer* 749 (2011)
- “Does the Akzo Nobel case spell the end of legal professional privilege for in-house lawyers in Europe?” 31(10) *Comp. Law.* 310 (2010)
- “Corruption as a financial crime” 30(4) *Comp. Law.* 98 (2009)
- “The role of whistleblowers in the fight against economic crime” 12(2) *J.F.C.* 131 (2004)
- “The Money Laundering Regulations 2003” 8(1) *J.M.L.C.* 75 (2004)
- “Miscarriages of justice: putting errors right” 26 (Apr.) *Amicus Curiae* 18 (2000)

Other Publications

- “How to regulate Bitcoin: the debate continues” 39(3) *Company Lawyer* 65 (2018)
- “Duty to promote the ‘success of the company’: time for greater emphasis on all factors” 38(9) *Company Lawyer* 269 (2017)
- “‘Binge drinking’: target the culprits, not the whole of the bar industry” 16(2) *J.M.L.C.* (2013)
- “Specyfika brytyjskich przepisów dotyczących odpowiedzialności karnej za pranie pieniędzy” (“Specifics of British regulation on criminal responsibility for money laundering”) (with Janusz Bojarski), *Palestra*, July-August, 2012, 161 (2012)
- “Will ‘cost savings’ now constitute proceeds of crime under United States legislation?” *Cayman Financial Review*, Issue 27 – Second Quarter 2012, <http://www.compasscayman.com/cfr/2012/01/11/Will-%E2%80%9Ccost-savings%E2%80%9D-now-constitute-proceeds-of-crime-under-United-States-legislation-/> (2012)
- “Shareholders: the power is in their own hands” 33(8) *Comp. Law* 243 (2012)
- “‘Bribery of a foreign public official’ may cover a wider range than you might think” 32(4) *Comp. Law.* 97 (2011)
- “What is a foreign public official?” 14(2) *J.M.L.C.* (2011)
- “The Bribery Act 2010: time to stand firm” 18(2) *J.F.C.*(2011)

- “B.P.: protection of the environment is now to be taken seriously in company law” 31(9) Comp. Law. 271 (2010)
- “More bonuses: is there a solution?” 31(5) Comp. Law. 129 (2010)
- “Money laundering and terrorist financing: time for a combined offence?” 30(7) Comp. Law. 200 (2009)
- “Reputational issues arising under the EU Third Money Laundering Directive” 27(12) Comp. Law. 373 (2006)
- “FATF new recommendations: as the scope widens, companies come under the spotlight” 24(9) Comp. Law. 257 (2003)
- “Confiscation orders: do the U.K. provisions for confiscation orders breach the European Convention on Human Rights?” 5(4) J.F.C. 374 (1998)
- “What Now For the U.K.?” in “The Euro and Your Business” Treasury Management International (1998)

Works in progress

“The Role of Banks in the Propagation of Corruption and Money Laundering” (with Ambreen Saveira Khan)

“A Satisfactory Innocent Owner Defence to Civil Asset Recovery”

PROFESSIONAL AFFILIATIONS

Society of Legal Scholars, UK

Liveryman, Worshipful Company of Pattenmakers