

# Neil Robson

## Partner

London Office

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### Practices

FOCUS: Financial Markets and Funds  
Broker-Dealer Regulation  
Cryptoassets and Blockchain Technology  
Distressed and Special Situations  
Investing  
Environmental, Social and Governance  
ESG and Sustainable Investing  
Investment Management and Funds  
Private Equity  
Private Equity and Real Estate Fund  
Formation  
Proprietary Trading Firms  
Quantitative and Algorithmic Trading  
United Kingdom

### Industries

Finance and Financial Markets  
Manufacturing and Industrials Private  
Equity

### Education

LPC, BPP University Law School  
MA, University College London  
BA, University College London

### Bar Admissions

England and Wales

Neil Robson decodes complex UK and EU regulations to provide practical regulatory and compliance advice to financial services firms. He represents a range of financial market participants — hedge and private equity fund managers, investment advisors, broker-dealers and proprietary traders — that are based or doing business in the UK or the EU. Neil's extensive working knowledge of this complicated sector allows his clients to both meet their business objectives and satisfy regulatory requirements.

### Proactive compliance counsel that keeps financial services firms thriving, nimble

Neil's ultimate goal for each one of his clients is for them to confidently run their firms and thrive within the complex regulatory environment in which they operate. That means ensuring everything they do — from day-to-day business functions and cross-border interactions to launching products and new funds — stands up to the closest regulatory scrutiny.

A significant part of Neil's work involves helping his clients stay nimble in the face of changing laws and regulations or uncertain circumstances. He assisted an international multibillion AUM fund management group, for example, with a restructuring to ensure uninterrupted operations in the event of a "no deal" Brexit. This included forming new entities across Europe and restructuring client relationships across the EU, the UK and United States and working through complicated regulatory, personnel and tax issues. Whatever the scope of an engagement, Neil provides responsive and agile advice aimed at satisfying his client's commercial objectives.

## Representative Experience

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- Represent UK and other fund managers in relation to impact of AIFM Directive on their ongoing operations including authorization/registration, delegation, restructuring, marketing, disclosure and remuneration issues.
- Advise activist fund manager in connection with its UK acquisitions, including reporting issues under UK takeover rules, concert party issues and negotiations with UK Panel on Takeovers and Mergers.
- Represent US proprietary trading firms in establishing UK subsidiaries, obtaining FCA-authorized status in the United Kingdom and passporting cross-border within European Union.
- Advise numerous start-up managers in connection with structuring, establishment and FCA authorization of their UK operations
- Represent significant UK-based commodity trading adviser in restructuring its management operations to limit (1) FCA regulatory capital requirements and (2) impact of AIFM Directive, with establishment of non-EEA AIFM entity and appropriate levels of overseas substance to meet minimum regulatory requirements.
- Advise institutional investment manager in connection with impact of EU and international sanctions on its business.
- Advise on structure of new UK crowd-funding business, including the FCA regulatory regimes.
- Advise clients on financial crime, bribery and corruption prevention, including staff training and implementing protective measures in the form of adequate procedures, due diligence and contractual protections.

## Recognitions

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*Recognized or listed in the following:*

- *Best Lawyers in the United Kingdom*
  - Investment Funds, 2023
- HFM European Hedge Fund Services Award
  - 2015
- JD Supra Reader's Choice - Top Author
  - International Law and Securities, 2018–2020
- Lexology Client Choice Award
  - UK Capital Markets, 2015
- Lexology Global Counsel Awards
  - UK Capital Markets, 2015
  - UK Private Funds, 2022
- *National Law Review*
  - Go-To Thought Leader Article of the Year Award, 2019
- *Super Lawyers Rising Stars*
  - London, 2013–2014
- *The Legal 500 United Kingdom*
  - Recommended Attorney, 2014–2024
- *Who's Who of Private Funds Regulatory (England)*
  - 2016–2023

# Neil Robson

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## News

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- Katten Acclaimed in The Legal 500 United Kingdom 2024 Guide (October 4, 2023)
- Katten and Reputation Consultancy Lansons Launch New Podcast on Misconduct in Financial Services (September 6, 2023)
- Neil Robson Shares Insight Into Human Rights Issues in the Supply Chain (July 20, 2023)
- *SupplyChain Magazine* Talks ESG Supply Chain Concerns With Neil Robson (July 12, 2023)
- Neil Robson Discusses Cryptocurrency Sustainability Issues With *FinTech Magazine* (July 10, 2023)
- Katten Attorneys Distinguished by *Best Lawyers*™ in the UK (June 8, 2023)
- Neil Robson Named a 2022 Lexology Client Choice Award Winner (November 16, 2022)
- Katten UK Recognized in The Legal 500 United Kingdom 2023 Guide (September 30, 2022)
- Nathaniel Lalone and Neil Robson Analyze Proposed Financial Regulatory Oversight Changes in the UK for *Law360* (September 13, 2022)
- Katten Attorneys Named to the *Best Lawyers*™ in the United Kingdom (June 9, 2022)
- Neil Robson Examines Green Challenges for Cryptocurrency With *IT Pro* (December 2, 2021)
- Coronavirus (COVID-19) Resource Center (November 10, 2021)
- *Law360* Speaks With Neil Robson on the Financial Services Industry Commitment to Net-Zero Carbon (November 8, 2021)
- Neil Robson Discusses "Chaperoning" as a Brexit Workaround (November 1, 2021)

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- Katten UK Receives Numerous Distinctions in The Legal 500 United Kingdom 2022 Guide (October 4, 2021)
- *IR Magazine* Interviews Neil Robson on the UK Stewardship Code (September 14, 2021)
- Neil Robson Shares Asset Manager Perspective on UK Stewardship Code (September 10, 2021)
- *Compliance Week* Explores AML Regulatory Oversight of Fintech and Cryptocurrency Firms With Neil Robson (September 3, 2021)
- *Compliance Week* Talks EU Whistleblowing Directive Compliance Issues With Neil Robson (May 13, 2021)
- *Reuters* Discusses ESG Transparency Regulations With Neil Robson (March 10, 2021)
- *Daily Telegraph* Talks With Neil Robson on FCA Oversight for Controversial Fund Manager (February 18, 2021)
- Katten UK Named a Leading Firm in Financial Services and Real Estate by The Legal 500 United Kingdom Guide (October 1, 2020)
- Neil Robson Shares Insight Gained From Remote Working (June 29, 2020)
- Katten Attorneys Recognized as Top Authors in 2020 JD Supra Readers' Choice Awards (April 29, 2020)
- Neil Robson Comments on ESMA Efforts to Strengthen Financial Markets (March 30, 2020)
- Neil Robson Discusses Turbulence in the European Markets With Reuters (March 16, 2020)
- Neil Robson Talks Personal Account Dealing Policies for London Hedge Fund Managers (January 28, 2020)
- *HFM Global* Talks With Neil Robson on Senior Managers Regime, MiFID II and GDPR (December 19, 2019)
- Katten Lawyers Recognized by *The National Law Review* for Authoring the 2019 "Article of the Year" (December 12, 2019)
- Neil Robson Talks Potential SMCR Fallout (September 25, 2019)

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- Neil Robson Comments on Hedge Fund Tumult in the Face of Brexit (August 28, 2019)
- Katten Attorneys Receive Readers' Choice Awards from JD Supra (April 1, 2019)
- Reuters Talks With Neil Robson on Temporary Move of British-Based Fund Managers to US (January 18, 2019)
- Neil Robson Comments on AIFMD Growing Pains (January 15, 2019)
- Neil Robson Shares PE and Hedge Fund Concerns With Reuters (November 29, 2018)
- Katten UK Named a Leading Firm in Finance, Real Estate, and Corporate and Commercial by The Legal 500 United Kingdom (November 27, 2018)
- Neil Robson Comments on Scrutiny Facing Hedge Funds Following MiFID II (June 26, 2018)
- Neil Robson Opines on the UK's FCA Review into Aspects of MiFID II (June 20, 2018)
- Neil Robson Discusses Downside in Anti-Corruption Rules (May 21, 2018)
- Neil Robson Comments on Hedge Funds and Employee Trading (May 15, 2018)
- Katten Attorneys Recognized as Top Authors by JD Supra (March 20, 2018)
- Neil Robson Comments on a Proposed AIFMD II and Brexit (March 16, 2018)
- Bloomberg Quotes Neil Robson on Brexit Challenges for Banks (March 14, 2018)
- Neil Robson Quoted by Reuters on Research Fees for Funds (January 25, 2018)
- Neil Robson Talks MiFID II Complications With *HFM Week* (January 17, 2018)
- CNBC Interviews Neil Robson on MiFID II and Brexit (January 5, 2018)

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- Neil Robson Quoted on MiFID II Complications for Hedge Funds (January 4, 2018)
- Neil Robson Comments on MiFID II to BBC News (January 3, 2018)
- Neil Robson Interviewed by BBC Radio 4 on MiFID II (January 2, 2018)
- *Financial Times* Interviews Neil Robson on MiFID II Concerns for Banks (December 15, 2017)
- Neil Robson Comments on MiFID II: Research Pay Rules Extending to Sales, Trading (November 14, 2017)
- Neil Robson Quoted on MiFID II Research Unbundling (November 8, 2017)
- Neil Robson Comments on MiFID II and the Work of "Desk Analysts" (October 12, 2017)
- Katten Lauded by *The Legal 500 United Kingdom* 2017 (October 11, 2017)
- Neil Robson Comments on MiFID II Research Market Growth (October 6, 2017)
- Neil Robson Talks With *Bloomberg Markets* on Firms Attempts to Dodge MiFID II (August 23, 2017)
- Neil Robson Comments on Preparation by London Brokers for MiFID II Shake-up (August 21, 2017)
- Neil Robson Quoted in *Financial News* on Hedge Fund Firms Switching to AIFMs (August 17, 2017)
- Neil Robson Quoted in *Financial Times* on MiFID II and Brexit (August 10, 2017)
- Neil Robson Comments on ESMA's Short-Selling Regulations (August 9, 2017)
- Neil Robson Talks With Bloomberg on the Rise of Amsterdam as a Result of Brexit (August 3, 2017)
- Neil Robson Quoted by Reuters on Recent ESMA Opinion on "Letter-Box" Locations (July 13, 2017)
- Neil Robson Comments on MiFID II Challenges for UK Asset Managers (April 12, 2017)

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- Neil Robson Addresses How the UK Funds Industry May Be Able To Capitalize on Brexit (February 23, 2017)
- Neil Robson Comments on Brexit Implications for Hedge Funds (January 26, 2017)
- Neil Robson Quoted in a White Paper on Offshore Fund Management (August 17, 2016)
- Neil Robson Comments on Cross-Border Passport Rights Following Brexit (June 28, 2016)
- Neil Robson Quoted on "Brexit" Impact on US Broker-Dealers (May 10, 2016)
- Henry Bregstein and Neil Robson Comment on Family Offices (April 20, 2016)
- Neil Robson Quoted on MiFID Delay (December 31, 2015)
- Neil Robson Discusses Effects of United Kingdom's New Senior Managers Regime (October 30, 2015)
- Neil Robson Quoted in *HFMWeek* on the Increasing Frequency of Hedge Funds Poaching Regulators' Staff (September 24, 2015)
- Neil Robson Quoted in *HFMWeek* on European Long-Term Investment Funds (July 23, 2015)
- Neil Robson Quoted in *HFMWeek* on Gold-Plating AIFMD Rules (June 30, 2015)
- Neil Robson Quoted in *Alt Credit Intelligence* on Opening of EU Capital Markets (June 12, 2015)
- Neil Robson Addresses How the Upcoming UK Election May Impact Hedge Funds (March 4, 2015)
- Neil Robson Quoted in *HFMWeek* Article "Cayman Reduces Liability of Hedge Fund Directors" (February 27, 2015)
- Katten Attorneys Anthony Paccione and Neil Robson Receive 2015 Client Choice Awards for Outstanding Client Service (February 26, 2015)

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- Partner Neil Robson Quoted on ESMA Review of AIFMD Passport (February 23, 2015)
- Neil Robson Quoted in Bloomberg Business on EU Equity Research Plan (February 20, 2015)
- Partner Neil Robson Quoted on US Firms' Current Frustration With Regulatory Reporting Online in the UK (February 4, 2015)
- Partner Neil Robson Quoted in *HFM Week* on Non-EU Fund Managers Deregistering from Certain EU Regulators for Marketing Under the AIFM Directive (January 15, 2015)
- Partner Neil Robson Quoted in *HFM Week* Regarding the Ability for Non-EU managers Conduct Regulatory Reporting Online in the UK (January 15, 2015)
- Partner Neil Robson Quoted in *HFM Technology* on Concerns Over FCA Annex IV Reporting (November 11, 2014)
- Katten UK Real Estate, Finance, Corporate and Commercial Teams Lauded By *The Legal 500 United Kingdom 2014* (October 3, 2014)

## Publications

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- *UK Financial Insights* from Katten | Issue 3 (September 28, 2023)
- *ESG Guidepost* | Issue 6 (September 2023)
- Financial Markets and Funds *Quick Take* | Issue 18 (September 2023)
- Is ESG Waning Globally for the Asset Management Industry? (September 7, 2023)
- *UK Financial Insights from Katten* | Issue 2 (August 2023)
- FCA's Plans to Improve Whistleblower Confidence a Positive Step (August 21, 2023)
- Financial Markets and Funds *Quick Take* | Issue 17 (August 2023)
- Financial Markets and Funds *Quick Take* | Issue 16 (July 2023)

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- *ESG Guidepost* | Issue 4 (July 2023)
- UK Financial Insights from Katten | Issue 1 (July 6, 2023)
- Financial Markets and Funds Quick Take | Issue 15 (June 13, 2023)
- Financial Markets and Funds Quick Take | Issue 14 (May 30, 2023)
- Financial Services and Markets Bill and Edinburgh Reforms: Will they spark the Big Bang 2.0? (March 28, 2023)
- Are we on the cusp of a 'Big Bang 2.0' for financial trading and markets? (March 7, 2023)
- The SMCR – is it fit for purpose? (February 3, 2023)
- Financial Markets and Funds Quick Take | Issue 10 (January 13, 2023)
- Crypto, Asset Management and Tax: A Big Step Forward for the UK in 2023 | *Thomson Reuters Regulatory Intelligence* (January 12, 2023)
- Financial Markets and Funds Quick Take | Issue 9 (December 13, 2022)
- Weathering the Crypto Winter: Tools for Insolvency Practitioners (October 20, 2022)
- Financial Markets and Funds Quick Take | Issue 7 (October 12, 2022)
- How to Minimise Risk Under the Bribery Act 2010 (September 14, 2022)
- Cracking Down: A Stark Warning to EU Firms Operating in the UK (February 2, 2022)
- The Gold Standard? (September 2021)
- The Bribery Act: A Decade On (August 6, 2021)
- ESG Remains a Priority: SEC Asset Management Advisory Committee Adopts ESG Disclosure Recommendations (July 22, 2021)
- Crypto, Meet ESG; ESG, Meet Crypto (July 15, 2021)
- New UK Rules for Reviewing Foreign Direct Investment (December 17, 2020)
- Financial Markets Regulation COVID-19 Resource Center (October 22, 2020)

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- LIBOR, Brexit and Cryptoassets: Summer Takeaways From Katten's *CFWD* Podcasts (August 21, 2020)
- COVID-19 and Returning to the Workplace — Considerations for FCA-Regulated Firms (June 11, 2020)
- COVID-19: Business Continuity and Regulated Activities — Guidance for FCA-Regulated Firms (March 18, 2020)
- Short Sale Restrictions – Response to Recent Market Volatility (March 17, 2020)
- ESG and Sustainable Finance: The European Perspective (March 16, 2020)
- EMIR REFIT: What Non-EU Asset Managers Should be Doing Now (May 3, 2019)
- One Year to Go Before SM&CR Applies to All FCA-Regulated Firms (December 10, 2018)
- Brexit Update: What You Need to Know About the UK Parliamentary Vote (December 7, 2018)
- UK Government Consults on Proposals To Reform Limited Partnerships (June 26, 2018)
- GDPR Considerations for US Asset Managers (May 16, 2018)
- GDPR—One Month to Go: Considerations for US Asset Managers (April 25, 2018)
- MiFID II Helpline (December 18, 2017)
- The EU PRIIPs Regulation for Fund Managers (December 1, 2017)
- SEC Issues Important Interpretive Guidance on Implications of "Unbundling" the Costs of Investment Research from the Costs of Trade Execution, Mandated by EU Requirements (November 2, 2017)
- Brexit: Implications for the Financial Services Industry (June 24, 2016)
- Straight Talking (December 2015)
- Corporate Responsibility for Third-Party Misconduct: The UK Modern Slavery Act of 2015 (November 5, 2015)

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- European Commission Publishes Delegated Regulation on Mandatory Clearing for OTC Interest Rate Derivatives (August 18, 2015)
- Securities Financing Transactions Regulation: Shining a Light on Shadow Banking (August 17, 2015)
- Hedge Funds: Formation, Operation and Regulation (October 2013)
- FSA Conflicts of Interest Safeguards (November/December 2012)
- Preparing for Compliance With the AIFM Directive (November 2012)
- New European Rules on Short Selling (September/October 2012)
- The Impact of Asymmetric Information, Trade Documentation, Form of Transfer and Additional Terms of Trade on Hedge Funds' Trade Risk in European Secondary Loans (October 27, 2011)
- Proposed Changes to Europe's Derivatives Regulatory Structure: EMIR & MiFID II (September 2011)
- Transposing UCITS IV Into UK Law (May 2011)
- FSA Remuneration Code Update: Final Rules and Application to Hedge Fund Managers (February 2011)
- Bribery Act 2010: The UK's New Anti-bribery and Corruption Law and Its Interaction With the US Foreign Corrupt Practices Act (September 2010)
- *Corporate & Financial Weekly Digest* (Weekly) | *Author*

## Podcasts

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- (mis)Conduct, Money & Reputation | Odey, FCA, Non-Financial Misconduct (September 6, 2023)

## Presentations and Events

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- Financial Services Regulatory Summer School (July 31–August 4, 2023) | *Presenter* | *An Overview of Regulatory Issues in Funds*

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- 2023 Crypto with Katten London Symposium (March 1, 2023)
- 2022 Crypto with Katten Annual Symposium (October 20, 2022)
- Regulatory Horizon 2022 (March 8-10, 2022) | *Panelist* | *Transaction Reporting: Man vs. Machine*
- 24 Hours of Crypto With Katten (July 14–15, 2021) | *Speaker* | *Crypto, Meet ESG: ESG, Meet Crypto*
- A Beacon Into 2021 Crypto Industry, Legal and Regulatory Developments Year to Date (June 2, 2021) | *Speaker*
- MFA Network 2021 (January 19–20, 2021) | *Panelist*
- London Weekly Fireside Chat, Week 11 (July 31, 2020) | *Co-presenter*
- London Weekly Fireside Chat, Week 10 (July 24, 2020) | *Co-presenter*
- London Weekly Fireside Chat, Week 9 (July 10, 2020) | *Co-presenter*
- London Weekly Fireside Chat, Week 8 (June 26, 2020) | *Co-presenter*
- London Weekly Fireside Chat, Week 7 (June 19, 2020) | *Co-presenter*
- London Weekly Fireside Chat, Week 6 (June 12, 2020) | *Co-presenter*
- London Weekly Fireside Chat, Week 5 (June 5, 2020) | *Co-presenter*
- London Weekly Fireside Chat, Week 4 (May 26, 2020) | *Co-presenter*
- London Weekly Fireside Chat, Week 3 (May 19, 2020) | *Co-presenter*
- London Weekly Fireside Chat, Week 2 (May 12, 2020) | *Co-presenter*
- First London Weekly Fireside Chat (May 5, 2020) | *Co-presenter*
- Regulatory Horizon 2020: The Challenges Ahead (February 12, 2020) | *Panelist* | *Managing your Key Compliance Risks (2): Surveillance and Reporting*
- MFA Global Summit 2019 (November 12, 2019) | *Panelist* | *Brexit Analysis and Operational Implications*
- Brexit – On Again, Off Again! (October 17, 2019) | *Participant*
- Are you ready? The UK's Senior Managers & Certification Regime for US Persons (July 10, 2019) | *Co-presenter*

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- Preventing Market Abuse: Lessons From Tipper X, a Former Insider Trader (November 14, 2018) | *Panelist*
- The Impact of Blockchain Technology on the Real Estate Industry (June 14, 2018) | *Panelist* | *Blockchain Technology in Real Estate*
- Operation and Regulation of Digital Currencies, Crypto Securities and Other Digital Tokens (March 22, 2018) | *Panelist*
- FIA Core Action Items for Third-Country Firms for MiFID Go-Live (November 13, 2017) | *Presenter*
- The Imminent Impact of MiFID II: The State of Play for Europe's New Financial Regulations (October 17, 2017) | *Panelist*
- MiFID II: What Are We Waiting For? (September 20, 2017) | *Presenter*
- Cordium's Annual Regulatory Conference (June 7, 2017) | *Panelist* | *Hosted Options in a Changing World*
- MiFID II, Brexit and the Dutch Alternative: Regulatory and Tax Issues for Proprietary Traders (May 18, 2017) | *Panelist*
- MiFID II Transaction Reporting: Meeting the Operational and Technical Hurdles by Jan 2018 (April 26, 2017) | *Panelist*
- MiFID 2/MiFIR Transaction Reporting and Position Limits Monitoring (March 22, 2017) | *Presenter*
- MiFID Crash Course for US CCOs (November 16, 2016) | *Presenter*
- FIA L&C Division Webinar (February 25, 2016) | *Presenter* | *US Trading Activities in Europe: The Impact of New EU Transaction Reporting and Position Limits Rules*
- Regulatory and Cross-Border Issues for Proprietary Trading Firms (February 4, 2016) | *Panelist*
- Cordium Annual Conference 2016: Growing Panes to Success – Your Key Regulatory and Organisational Challenges in Perspective (February 2, 2016) | *Panelist* | *MiFID 2 MUCH? The Opportunities and Challenges of Capital Market Reforms*
- Regulatory Horizon 2016 (December 3, 2015) | *Panelist* | *The FCA Panel – Recent Developments and Year Ahead*

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- Reaching Your Audience – Clearer Communication for Asset Managers in 2016 (November 4, 2015) | *Panelist*
- Global Summit 2015 (October 27, 2015) | *Panelist* | *Market Structure: The Implications of MiFID II*
- Global Regulatory Developments Impacting Asset Managers (June 30, 2015) | *Panelist*
- AIFMD Hedge Fund Roundtable (April 29, 2015) | *Panelist* | *AIFMD Hedge Fund Roundtable*
- Developments in Proprietary Trading: Cross-Border Comparison of US and European Regulatory Initiatives (April 28, 2015) | *Panelist*
- Winning Moves: Annual Funds Conference 2015 (March 19, 2015) | *Panelist* | *The Next Moves—Fund Managers' Response to an Evolving Landscape*
- Building a Presence in the US (March 5, 2015) | *Panelist* | *Building a Presence in the US*
- Hedge Fund Marketing: a Global Regulatory and Compliance Update for US Managers (February 26, 2015) | *Speaker* | *Hedge Fund Marketing: a Global Regulatory and Compliance Update for US Managers*
- What Will the UK General Election Mean for Hedge Funds? (February 25, 2015) | *Panelist* | *What Will the UK General Election Mean for Hedge Funds?*
- Cordium Annual Regulatory Forum (February 25, 2014) | *Panelist* | *UK and European Regulatory Developments — To AIFMinity and Beyond*
- Infoline Hedge Fund Regulation & Compliance Forum (October 25, 2013) | *Panelist* | *Clarifying the Position on Fund Marketing Under AIFMD*
- HFMWeek European Operational Leaders Summit (September 16–18, 2013) | *Panelist* | *AIFMD — Marketing With and Without the Passport*
- FRA Preparing for the AIFMD (June 18, 2013) | *Panelist* | *Marketing Under the Passport Regime and Managing Funds by Delegation: AIFMD Delegation Rules*

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- IMS Regulatory Forum (January 23, 2013) | *Panelist* | *European Regulatory Developments*
- SRZ 22nd Annual Private Investment Funds Seminar (January 15, 2013) | *Panelist* | *Compliance Spotlight*
- IMS Regulatory Forum (January 25, 2012) | *Panelist* | *What is Lurking on the International Regulatory Horizon, When Will it Hit the UK and What To Do in Response?*
- HFMWeek UK Breakfast Briefing (April 21, 2011) | *Panelist* | *EU Short Selling Legislation*
- HFMWeek Legal Summit (September 15, 2010) | *Panelist* | *Spotlight on: AIFM*