



Alice D'Mello

Partner

Financial Markets and Funds

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Alice D'Mello helps asset managers, funds, banks and other financial institutions navigate the complex and ever-changing UK and EU regulations. With her in-depth fund formation experience, clients trust Alice to help them achieve their business goals.

Counsel rooted in firsthand industry knowledge

Alice takes a comprehensive approach to advising financial services clients. She anticipates her clients' needs and provides counsel at every stage of a fund's lifecycle — from structuring and authorization, to fund documents, marketing materials and service provider contracts, and compliance policies and procedures. She has extensive experience when it comes to advising on the international distribution of funds and the provision of cross-border services. She works closely with asset managers to help them stay on course with regulatory requirements stemming from the Alternative Investment Fund Managers Directive (AIFMD), the revised Markets in Financial Instruments Directive (MiFID II) and the Senior Managers and Certification Regime (SM&CR).

Representing a significant part of her practice, Alice is adept at helping clients with investment management agreements (IMAs). She is committed to delivering innovative and efficient solutions for handling compliance and market standard reviews. With this in mind, Alice operates at the forefront of the industry, having recently developed technology for conducting IMA reviews.

Additionally, Alice is well versed in Financial Conduct Authority (FCA) regulatory compliance. She advises on perimeter guidance, the establishment of financial services businesses in the UK and related FCA rules on marketing, trading, conduct and governance, delegation and outsourcing.

Representative Experience

- Advised local city government agencies and a private equity firm on the establishment of an innovative affordable housing scheme. Counseled on the structure and governance, services arrangements,

Practices

- Financial Markets and Funds
- Investment Management and Trading
- Private Equity and Real Estate Fund Formation

Education

- PGDL, City Law School
- MA, University of Cambridge

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financial services regulatory aspects, the acquisition of the initial property portfolio and a related acquisition finance facility.*

- Seconded to an asset manager with over USD 380 billion in global assets under management (AUM). Created and advised on in-house documents and template IMAs, and negotiated IMAs with counterparties.*
- Advised an asset manager with just under GBP 160 billion in AUM on financial services regulatory aspects of the sale of its digital wrap and wealth management platform business.*
- Advised on the financial services regulatory aspects for the launch of a £40 million green fund founded with investment from the UK government and one of the UK's largest charity fund managers.*

*Experience prior to Katten

News

- Katten UK Named Transatlantic Firm of the Year 2022 (November 30, 2022)
- Katten Adds New Partner To London Funds Team (January 31, 2022)

Publications

- Financial Markets and Funds Quick Take | Issue 9 (December 13, 2022)