



Ezra Zahabi

Partner

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Areas of Focus

- Financial Services Regulatory
- Sustainability
- Global Investment Adviser Regulatory
- Investment Funds Litigation
- Private Capital

Biography

- Focuses her practice on financial regulatory matters relevant to the investment management and funds industry.
- Advising a major technology investment fund on start-up issues, including internal controls and information handling protocols, and conducting market abuse and compliance training for staff. We also provided advice in relation to market abuse requirements and trade issues.
- Advising a US VC investment manager on “appointed representative” arrangements.

- Advising a large PE manager with establishing UK operations, including FCA authorisation application.
- Advising the U.K. office of a global investment manager on the Senior Managers and Certification Regime (SMCR) implementation process.

Ezra advises on relevant developments and considerations regarding changes to the U.K. and EU financial regulatory framework, particularly with regard to:

- The U.K. financial services regulatory framework, including the Financial Services and Markets Act 2000, the rules of the Financial Conduct Authority (FCA) and the Prudential Regulatory Authority (PRA).
- The EU legislative and regulatory framework, including the revised Markets in Financial Instruments Directive and the related Regulation (MiFID II); the Alternative Investment Fund Managers Directive (AIFMD); the Market Abuse Regulation; the Short Selling Regulation and the European Markets and Infrastructure Regulation (EMIR).
- Structuring and promotion of sustainable funds, and the application of the Sustainable Finance Disclosure Regulation (SFDR) and the Taxonomy Regulation.

Ezra counsels investment management clients (including credit, hedge fund and private equity managers) on a variety of matters, including:

- Senior Managers and Certification Regime.
- Remuneration Code requirements.
- Strategic advice in connection with new or forthcoming regulatory requirements.
- Market abuse and market conduct.
- Marketing and distribution of funds, managed accounts and securities.
- Interactions with regulatory authorities, including regulatory applications and notifications.
- Structuring of investment management and advisory platforms.

Ezra participates in industry associations including the Sustainable Investment and Investment Management Sub-Committees of the Financial Markets Law Committee (a committee of the Bank of England) and the Alternative Investment Management Association (AIMA) working groups. She provides client training on regulatory and legal matters, including market abuse.

Representative Work

- Advice on FCA authorization applications.
- SMCR implementation for investment managers.
- Advice to issuers and market participants on insider dealing concerns.
- Advice on post-Brexit marketing considerations for UK and other non-EU investment managers/advisors.

Education

- PLC, BPP University Law School, England, 2005
- PGDL, BPP University Law School, England, 2004
- B.A., University of London, SOAS, 2002

Bar Admissions

- Solicitor, England and Wales

Recognitions

- *Euromoney, Expert Guide: Women in Business Law*, Financial Services Regulatory, 2022.
- *IFLR1000 UK*, Women Leaders, 2022.
- *The Legal 500 UK*, Next Generation Partner, Financial Services: Non-contentious/Regulatory.
- *Euromoney*, Women in Business Law Awards, Best in Financial Regulation, 2020.
- *Euromoney, Expert Guide: Women in Business Law*, Leading Practitioner: Financial Services Regulatory, UK, 2021.

Affiliations and Public Service

- Member, 100 Women in Finance.
- Member, Alternative Investment Management Association.

Speeches and Publications

- “Keynote Fireside Chat with FCA,” MFA Legal & Compliance London 2023, November 2023.
- Speaker, “Emergence of ESG Transparency – U.S. and EU Developments” Webinar, April 15, 2021.
- “ESG Regulation: Are you Ready to Disclose?,” ELFA and Akin Webinar, London, November 2020.
- “Financing Trends and Regulatory Changes,” ELFA and Akin Webinar, London, November 2020.
- “COVID-19 – Financial Restructuring Update and Key Issues for Investors,” ELFA and Akin Webinar, London, May 2020.